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POSTGRADUATE PROGRAMS

**AN ASSESSMENT OF INDIVIDUALIZED SKILLS
DEVELOPMENT AND PERFORMANCE APPRAISAL
SYSTEM AT ZAMBART PROJECT, LUSAKA, ZAMBIA**

BY

WILLIAMS DZIKO PHIRI

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Lists of Acronyms

BARS	Behaviorally Anchored Relating Scales
CCM	Constant Comparative Method
CIPD	Chartered Institute of Personnel and Development
EFQM	European Foundation for Quality Management
HR	Human Resource
KPI	Key Performance Indicators
MBO	Management by Objectives
PA	Performance Appraisal
PAS	Performance Appraisal System
NGO	Non-Governmental Organization
QCA	Quantitative Content Analysis
SPA	Staff Performance Appraisal
SPSS	Statistical Package for the Social Science
TOC	Theory of Constraints
UNZA	University Of Zambia
ZAMBART	Zambia Aids Related Tuberculosis
ZOU	Zimbabwe Open University

Declaration

I declare that the work I have presented in this dissertation entitled "An Assessment of Individualised Skills Development and Performance Appraisal System at Zambart Project, Lusaka, Zambia. The Non-Governmental Organization based in Lusaka" is to the best of my knowledge my own work. The work contains no material submitted previously, in whole or in part, for the award of an academic degree at this University or any other University. I have however acknowledged all other works.

Williams Dziko Phiri.....

Dated this 5th November 2018

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Abstract

The main purpose then of this study was to test the theory of constraints if it would hold to explain Zambart's non linkage of the performance appraisal system and individualised human resource development. The study adopted a mixed methods equal status research design enlisting 86 employees who answered a survey questionnaire and of whom others were interviewed informed this study. Following the appraisal in the last twelve months, only n = 34 (39.5%) of the employees were rated as high performers, n = 32 (37.2%) were medium performers and n = 20 (23.3%) were low performers. The distribution of performance suggests that all professional staff were high performers, technical staff were more of medium performers whereas other staff were low to medium performers. More than half of the respondents n = 46 (53.5%) were classified as not eligible for training following appraisal, n = 30 (34.9%) underwent general in house training that was not linked to performance appraisal whereas n = 10 (11.6%) underwent away from job training that was also not linked to performance appraisal. It was not expected that employees would either undergo away from job training (n = 4) and undergo general in house training (n = 10) that were in both cases not linked to performance appraisal. In the medium category of performers, out of n = 32; n = 16 (50%), training was not considered as necessary following appraisal. In the medium category and surprisingly out of the low performers n = 10, training not considered as necessary following appraisal and yet another half, n = 16 underwent away from job training and general in house training that were both not linked to performance appraisal. The reasons Zambart has not considered in house or away from the job training following a staff performance appraisal (SPA) included, An unwritten policy prevents the system from making it possible for staff to be trained, No value to an organisation in training employees, No reward to an organisation in training employees and No money to execute particular tasks to train employees. The present study has shown that performance appraisals are done at Zambart and there is a disconnect with human resource development. There are four notable constraints and these are an unwritten policy that prevents the system from making it possible for staff to be trained, none consideration of employees as a valuable asset to an organisation when it comes to training employees, the perception that there is no reward to an organisation in training employees and lack of money to execute particular tasks to train employees. Therefore, the present study is proposing the application of the theory of constraints in attempting to address the disconnect.

CHAPTER ONE - INTRODUCTION

1.0 Overview

Theories of strategic management have historically acknowledged the importance of internal activities, resources or capabilities as potentially important sources of competitive advantage. Porter's (1985) seminal work on competitive advantage acknowledged the need to effectively link an integrated configuration of internal value chain activities to the intended business strategy. Subsequent work on strategic management has focused on resource- and knowledge-based views of the firm, arguing that internal resources are essential to building and sustaining competitive advantage (Barney, 1991; 1998; Grant, 1996). Central to emerging perspectives on strategy is the role of the firm's human resources in creating and sustaining superior performance through human and social capital development (Deci et al., 1999). Indeed, there is growing evidence that human resource management practices like performance appraisal and training can positively affect organizational performance (Boselie et al., 2005; Combs et al., 2006).

It is for this reason that performance appraisal has been considered as a formal system that evaluates the quality of an employee's performance. An appraisal should not be viewed as an end in itself, but rather as an important process within a broader performance management system that is linked to organizational objectives, day to day performance, professional development, rewards and incentives. It is also a means of measuring or assessing employees' achievements within a stated period of time using reliable measurement criteria with the ultimate goal of providing information to superiors on how to improve employees' effectiveness. The institutionalization of performance appraisal started as far back as the industrial revolution when it was used as a means of measuring organizational efficiency (Fandray, 2001). Wren (1994) affirmed that Performance appraisal was incepted when Robert Owen used wooden colored block to measure the achievement of employees working in the cotton Mills in Scotland at the close of work hours. During that era, it was utilised as a disciplinary mechanism for punishing poor performance (Kennedy & Dresser, 2001).

This resulted in the negative notation of the appraisal system which turned out to be despised by both the appraiser and the appraisee. Subsequently, organisations tried to refine the methods linking it to other administrative matters including reward, promotion, training and so forth, arguing that employees achievements should not only be measured but evaluated and managed (Kennedy & Dresser 2001). In the 1960s, the influence of management by

objectives movement meant that performance appraisal developed a greater emphasis on goal-setting and the assessment of performance-related abilities. In the 1970s, appraisal practices became more open to scrutiny. This was particularly pertinent in assessing potential, where the use of subjective methods to assess promotability became less acceptable.

According to Bassey et al., (2009), performance appraisal system was a means of investigating employee achievement over a certain period of time for achieving organizational goals. Consequently, performance appraisal is a means of knowledge sharing among subordinates and superiors to adequately measure the progress of the employee which would aid in making strategic human resource decisions. The primary aim of performance appraisal is to improve the effectiveness of an organization by assessing the impact of individuals employed in it (Cumming, 1972).

Though in the 1960s, the influence of the management by objectives movement meant that performance appraisal developed a greater emphasis on goal-setting and the assessment of performance-related abilities. Through the 1980s and 1990s, the concept of performance management came into vogue, and this, according to Williams (1998), provided a more holistic approach to generating motivation, improving performance and managing human resources. Spreigel reported in 1962 that by the early 1960s more than 60% of American organisations had a performance appraisal system in place. The system's popularity stemmed from the Army's implementation of a performance management system for its officers (Murphy and Cleaveland 1991), practiced norm for firms, both public and private to appraise their employees' job performance and the resultant progressive potential for both personal and organization's development. Through performance appraisal, managers were able to analyse work performance of employees in relation to their job descriptions and organization's set goals and objectives. As Faizal (2005) quoted in Hezekiah (2011), this process benefits both the employees and organization: "the employees get recognition, career guidance and feedback for their performance and the organisations get qualified, committed and disciplined employees". According to Frank and Lewis (2004) and Lewis and Frank (2002), private sector gives out more incentives than public sectors when utilizing performance appraisal results on comparable jobs.

Burgess et al.,(2003) argue that money was not the only motivating factor for performance of public servants. They argue that the public servants are motivated by other benefits and incentives such as high access to education and training and high stability and security of

their employment than private sector workers. This is also confirmed in a study conducted on public sector workers of Italy (Borzaga and Tortia, 2006). The study found out that monetary reward, pay-for performance, or bonuses are less influential on motivating public sector workers than private sector employees.

It has been a custom of all organisations in Tanzania for example to evaluate employees' performance. In the past, managers and higher echelon of the organization were the sole owners of the process. This process was called *closed annual confidential report system* which aimed at just evaluating the employees' performance without their participation in the process. This process was characterised by poor feedback and inferior identification of training needs making it impossible to promote performance and accountability of workers (Nigera, 2004). According to Gupta (2006) and Nigera (2004), it is important that the employees know what is expected of them in terms of goals and objectives and how to evaluate themselves in order to increase both ownership of responsibilities, milestones reached and, problems and challenges they encounter in the course of executing their duties which in turn will improve their productivity.

The main question here is how are the results of performance appraisal exercises translated to improve the productivity of the Non-governmental organisations? Is there any way to improve on the current performance appraisal system to bring about a more effective and efficient performance of the employees?

Performance appraisal may be defined as a structured formal interaction between a subordinate and supervisor, that usually takes the form of a periodic interview (annual or semi-annual), in which the work performance of the subordinate is examined and discussed, with a view to identifying weakness and strengths as well as opportunities for improvement and skills development. In many organisations ó but not all - appraisal results are used, either directly or indirectly, to help determine reward outcome. That is, the appraisal results are used to identify the better performing employees who should get the majority of available merit pay increases, bonuses, and promotions. By the same token, appraisal results are used to identify the poorer performers who may require some form of counseling, or in the extreme cases, demotion, dismissal or decreases in pay. (Organisations need to be aware of laws in their country that might restrict their capacity to dismiss employees or decrease pay.) Whether this is an appropriate use of performance appraisal ó the assignment and justification of rewards and penalties ó very uncertain and contentious matter. (www.iosrjournals.org).

However, Performance appraisal cannot be implemented successfully unless it is accepted by all concerned. There should be a common and clear understanding of the distinction between evaluation and appraisal. As Patten (1982) argues, evaluation aims at 'objective' measurement, while appraisal includes both objective and subjective assessment of how well an employee has performed during the period under review. Thus performance appraisal aims at 'feedback, development and assessment.' The process of performance appraisal should concentrate on the job of an employee, the environment of the organization, and not the employee himself- or herself. These three factors are inter-related and inter-dependent.

1.1 Background to the Study

Herwad(2003) in his book institutionalizing performance management emphasised the importance of performance appraisal. He stated that, the performance appraisal was one of central Human Resource practices and as such deserves much more attention than is paid to by most National administrations in most developing countries. The Challenge for a developing Country like Zambia lies in creating an enabling environment for the successful institutionalization of this important management function. However, he says that without public service workers sense of ownership and commitment towards the current performance appraisal system in the Zambian Public Service, institutionalizing a performance driven culture, shall for many years, remain a fruitless exercise. This is also the prevailing scenario in most Non-GovernmentalOrganisations including Zambart. This is because eventhough performance appraisals can be quite effective in motivating employees and resolving performance problems, in reality, only a small number of organisations use the performance appraisal process to its full potential. In many companies, a performance appraisal takes the form of a bureaucratic activity that is mutually despised by employees and managers. The problems a poor appraisal process can create may be so severe that many experts, including the founder of the total quality movement, Edward Deming, have recommended abolishing appraisals altogether (Carson & Carson, 1993). On the other hand, creating and executing an effective appraisal system actually leads to higher levels of trust in management (Mayer & Davis, 1999).

Therefore, identifying ways of increasing appraisal effectiveness is important. Therefore, in order to be effective, the appraisal system should be individualised, subjective, and

qualitative and oriented towards problem-solving. It should be based on clearly specified and measurable standards and indicators of performance. Since what is being appraised is performance and not personality, personality traits which are not relevant to job performance should be excluded from the appraisal framework.

1.2 Statement of the Problem

There is a performance appraisal and individualised skills development problem at Zambart. Despite the implementation of the staff performance appraisal system, following an appraisal, staff who have been identified as lacking in particular skills and have not met their individualised work plans, there hasn't been formal in house or away from job training programme in place. Staffs continue to fail to meet targets even in subsequent appraisals. This has affected institutional performance. If this situation continues, Zambart will continue to delay in meeting its institutional mandates. Possible causes of this problem are yet to be established. Perhaps a study would do to establish causes and strategies for in house or away from the job training that could be embedded in assessing employee training needs, therefore the application of performance appraisal based training needs analysis will do.

1.3 Purpose of the study

Noting that the overarching question in this study is "Why has Zambart not considered in house or away from the job training following a staff performance appraisal?" The main purpose then of this study was to test the theory of constraints if it would hold to explain Zambart's non linkage of the performance appraisal system and individualised human resource development.

1.4 Specific Objectives

- 1) To establish the extent to which appraisal exist at Zambart.
- 2) To assess implementation of in house or away from job training within the staff performance appraisal (SPA) system.

- 3) To ascertain Zambart's management abilities to link performance appraisal with in house or away from the job training.
- 4) To find out the extent to which the theory of constraints could explain a bottleneck operation in a performance appraisal system regarding training.

Given the statement of the problem, this study seeks to answer the following research questions.

1.5 Research Questions

- 1) What is the state of appraising employees at Zambart?
- 2) What is the state of actualisation of in house or away from the job training has been at Zambart.
- 3) Why has Zambart not considered in house or away from the job training following a staff performance appraisal (SPA)?

1.6 Significance of the study

This study is important in that it would generate a body of knowledge that Zambart could use to improve its staff performance appraisal system. The study could help future researchers studying on performance appraisals and human resource development to build on their studies. Finally, it would be used as a partial fulfilment for the attainment of a master's degree in Business Administration.

- ❖ The organization would benefit through efficient and effective service delivery in the community in which it operates.
- ❖ The organization and employees would also benefit by making the purpose of performance appraisal beneficial by narrowing skills gaps identified during performance appraisal through training and development instead of treating it as a

mere periodic exercises due to the fact that resources such as money and time are committed to this exercise.

- ❖ The results of the study would also add on the existing literature and shall help academicians, NGOs and government in having more reference material in future when carrying out research on similar or related topics.
- ❖ Zambart employees would benefit through training and development which the organization will embark on upon identifying skills gaps. Training and development will enable employees acquire and be endowed with necessary skills needed for them to execute their tasks efficiently and effectively.
- ❖ It is also hopeful that the study once undertaken would provide alternatives to suggesting appropriate policy measures and viable recommendations to assist in performance appraisal of employees in the NGOs and in general. The findings of the study would also assist in preparing an appropriate blueprint, so that the success could be emulated or replicated in other institutions in the Country.

All the beneficiaries, how will they benefit?

- Employees through training and development that will narrow the skills gap in their task execution.
- Zambart as an organization will benefit by having competent and skillful workforce that will execute and deliver their services efficiently and effectively to their clients.
- The study will add to the existing body of knowledge.
- The study is going to help Zambart management in its future policy formulation if deemed appropriate.

The benefits of basic research are structured to cover the following domains:

- 1) Generating new knowledge by filling in the gaps.
- 2) Generating theory or testing theoretical assumptions.
- 3) Generating methods ó data collection, sampling and analysis.
- 4) Informing policy ó revision, abandoning existing and embracing new policy.

Performance appraisal is important for gauging the progress of both employees and employers.

I. Milestones reached are examined,

II. Challenges encountered are evaluated,

III. Problems faced are analysed,

IV. High performances are rewarded,

V. Performance laggards are admonished, and

VI. Opportunities for improvements are recognised and acknowledged.

1.7 Scope of the Study

The study limits itself to Zambart Project staff (employees) and management representatives who institute the appraisal system. A mixed method study design focusing only on appraisal and training is adopted.

CHAPTER TWO - LITERATURE REVIEW

2.0. Introduction

The institutionalization of performance appraisal started as far back as the industrial revolution when it was used as a means of measuring organizational efficiency (Fandray, 2001). Wren (1994) affirmed that Performance appraisal was incepted when Robert Owen used wooden colored block to measure the achievement of employees working in the cotton Mills in Scotland at the close of work hours. However, in this research a systematic review of the literature was conducted to explore Staff Appraisal nature and its use, Staff Appraisal and Training, reasons institutions undertake performance appraisal system (PAS) based training, models of staff performance appraisal (SPA) system and training, theories used in performance appraisal system (PAS) and human resource development. This is because a well-managed performance appraisal system helps organisations to identify gaps between actual performances outcome of an employee and that which is expected; identifies those gaps and then design interventions with a view of closing identified gaps. This tool is widely used by many organisations worldwide and the NGO industry in Zambia is no exceptional.

Debrah and Kamoche (2004) noted that, in most Ghanaian organisations, performance appraisals are based on supervisory ratings and are used primarily for such personnel decisions as promotions and transfers. 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.

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 optimised toward achieving larger business goals. Creamer and Janosik (1997) noted that performance appraisal is not about a single event, such as completing a standard review form but rather a process that is on-going. The first step in the process of performance appraisal is the setting up of standards which will be used as the basis to compare the actual performance of the employees (Bratton and Gold, 2003).

For a performance appraisal system 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 and Kleiner, 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 development is a goal. Respectful, trust-based and open relationships are at the core of appraisal effectiveness. It was concluded that a performance appraisal system will not be effective unless it is perceived to be fair by all 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. It is therefore crucial for every organization to make conscious effort to develop an effective performance appraisal system in order to maximise the full benefits of the system. As a prerequisite for effective and successful performance appraisal, 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.

An effective performance appraisal standard should be related to the strategic objectives of the organization. Besides, the objectives that the organization sets need to be considered when developing an effective appraisal as departmental and individual position objectives are derived from these objectives. According to Debrah and Kamoche (2004) in most Ghanaian organisations, performance appraisals are based on supervisory ratings and this encourages subjectivity in the performance 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. To increase the effectiveness of the evaluation process, regular performance feedback is needed (Longenecker, 1997).

The research design for performance appraisal should also aim at staff development in terms of updating, revising or increasing 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. The focus of employee development should be to improve employee competence and performance and 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. It is argued that employers should work collaboratively with staff to identify needs and plan staff development activity which meets these needs, (Ellis and Hartley, 1995). 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. 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). Chandra and Frank (2004) says that without performance appraisal, there is little accountability for performing by staff at acceptable levels. Handled correctly, an effective Performance appraisal program can increase productivity and morale in your organization and help you retain valued high-performers. Productivity will increase because you will have standards and metrics to evaluate employee performance against. Morale can increase because employees are differentially rewarded for their performance based on objective criteria rather than on favoritism. A well-executed performance appraisal programme can provide the tools to make that happen. When developing your Performance appraisal programme, consider three phases:

1. The preparation before the appraisal meeting;
2. Conducting the appraisal meeting; and
3. The follow-up after the meeting.

A breakdown in any one of these areas will decrease the effectiveness of your performance management. Within each phase, a variety of steps can be taken to improve your performance management system and employee reactions.

Before every Appraisal Meeting it is important to design an effective Performance Appraisal programme, hence, considerable thought must be given to the corporate strategy, job analysis, the format of the appraisal tool, documenting performance, goal setting, and the communication plan. If you take these factors into consideration during your design, your Performance appraisal plan / programme will be viewed more favourably by your employees

and will be more likely to achieve the desired productivity results. This strategy will help you determine what skills, abilities, and behaviours you require of your employees currently, as well as what will be needed in the near future. It is important that you clearly link the strategy to the performance goals for each employee.

Key points to remember when designing and implementing performance appraisal and human resource development programme:

- Performance management is a continuous process, not an event.
- Communicate the purpose, intentions, and process of the performance appraisal programme.
- Establish goals that are:
 - Specific, not vague;
 - Directly linked to the corporate strategy;
 - Observable, Measurable, linked to specific time frames, tied to consequences
- Feedback (positive and negative) is most effective when it immediately follows the behaviour;
- Be specific in your documentation and during the meeting. Give concrete examples of behaviours. Avoid judgmental terms;
- Provide constructive feedback that includes suggestions for improvement.
- Seek and consider input from the employee regarding action plans;
- Use a format that is easy to use and makes sense to the users;
- Coaching will help employees make their desired behavioural changes.

2.1. Staff Appraisal Nature and uses

Coens, et al (2000) defines performance appraisal as a process that measures how well individuals in the organization have performed for the period under review in relation to the key performance indicators (KPIs) agreed upon with their superiors. Denisi et al., (2006) said that as part of larger performance evaluation system, organisations conduct performance appraisals to serve the purpose of improving employee effectiveness. Rao (2005) argues that performance appraisal was a method of evaluating the behavior of employees in the work place, this normally include both the quantitative and qualitative aspects of job performance.

It helps to identify and overcome the problems faced by the employees in their work (Mackey & Johnson, 2000). Although it has many benefits for the organization, Nurse, (2005); states that performance appraisal have the equal probability of having a bad influence on the organization as well as on employee performance. According to Kuvaas, (2006); performance appraisal or employee appraisal is a method by which the job performance of an employee is evaluated generally in terms of quality, quantity, cost and time typically by the immediate line manager or supervisor. Appraisals could determine training needs and occasionally, counseling needs. They could also increase employee motivation through the feedback process and may provide an evaluation of working conditions, thus, improving employee productivity, by encouraging the strong areas and modifying the weak ones. A performance appraisal was a part of the process of guiding and managing career development in both private and public sectors. It involves the task of obtaining, analyzing and recording information about the relative worth of an employee to the organization. According to Maud, (2001); Performance helps firms, industries and nations to achieve sustainable competitive advantage.

Boswell et al., (2000); identified two uses of performance appraisal system (PAS) in their study of East African banks as evaluative and developmental purposes. The evaluative function includes the use of performance appraisal (PA) for salary administration, promotion decisions, retention-termination decisions, and recognition of individual performance, layoffs and the identification of poor performance. Ostroff, (1993) conceptualises the above usage of performance appraisal (PA) as administrative purpose. Cleveland et al., (1989) contended that evaluative functions involve between-person decisions. Developmental functions, on the other hand, include the identification of individual training needs, providing performance feedback, determining transfers and assignments, and the identification of individuals' strengths and weaknesses. These are proposed to encompass within-person decisions.

Boswell et al., (2002) cited the developmental purpose of performance appraisal, that it was a review of the employee's agreed upon duties and responsibilities whose results help identify areas for further enhancement of the individual on one hand and ability of the organization to further achieve its growth on another hand.

Oshionebo, (2000) puts emphasis on the administrative purpose of performance appraisal which is pointed out to provide feedback on how well the individual was fairing in relation to the strategic goals and this in turn helps the organization to determine the appropriate reward

such as promotions, bonuses and pay increases. Performance appraisal has increasingly become part of a more strategic approach to integrating human resource (HR) activities and business policies and may now be seen as a generic term covering a variety of activities through which organisations seek to assess employees and develop their competence, enhance performance and distribute rewards (Fletcher, 2001).

Furthermore, Thomas et al., (1994) studies reviewed that performance appraisal was used for determining training needs of the employee, consideration with regards to salary administration and review of the merits. This was echoed further, to include developmental uses such as determining promotions; lay-offs, transfers and hiring decisions. Performance appraisal was a process comprising the feedback of any appraisal result determining the performance of the employee at work and the establishing of a development plan ideal for the employee. (Kaynakand Bülbül, 2008),(Grubb, 2007) says that performance appraisals are a procedure to evaluate how individual personnel are performing and how they could improve their performance and contribute to overall organizational performance. (Beach, 2001) also says that Performance appraisal was the systematic evaluation of employees according to their jobs and potential for development.

Performance appraisal has been traditionally viewed by industrial and organizational psychologists as a measurement problem (Murphy & Cleveland, 1995). Actually, focusing on a quick review of its historical roots shows that early research on performance appraisal concentrated on such issues as scale development, scale formats, reducing test and appraiser bias and many more (Landy& Farr, 1980; 1983). It was interesting to note that performance appraisal was often considered as one of the most important human resource practices (Judge & Ferris, 1993; Boswell & Boudreau, 2002; Kehoe and Wright, 2013). Performance appraisal has increasingly become part of a more strategic approach to integrating human resource activities and business policies and was a generic term covering a variety of activities through which organisations seek to assess employees performance, develop their competences, enhance performance and distribute rewards (Fletcher & Perry, 2001).

Despite of the fact that more organisations are recognizing the value of performance appraisal to organisations and employees, there was much confusion about what appraisals were and how they should be conducted and managed in order for them to be more efficient and effective (Khoury&Analoui, 2004). Performance appraisals are likely to lose much of their value if they are not done effectively (Bird, 1998; Analoui, 2002). Performance appraisal

refers to the process by which an observer, often a supervisor or a peer, rates the job performance of an employee (Murphy & Cleveland, 1995). Kondrasuk, (2012) suggested that the ideal performance appraisal was a format (process) not a form (specific instrument). It was a process that involved setting expectations between the supervisor and the subordinate and having the subordinate perform to achieve the expectations of appraising and feeding back the results, and applying the results of the assessment in ways that benefit the organization, the supervisor and the subordinate involved. In most organisations, these appraisals are conducted periodically, usually annually and are normally on some standard rating scale. The product of the appraisal process, which are sets of ratings, could play a pivotal role in enhancing organizational effectiveness and have been used in variety of contexts (Landy& Farr, 1980).

However, in case of Zambart, appraisal process was conducted annually by its employees and supervisors in order to assess the performance of employees in a bid of finding appropriate means of improving employee performance in case of deficiencies in performance and skills. Nonetheless, according to the researcher, the organization does not commit enough resources that could be used to ensure that employees that are lacking certain necessary skills were considered for appropriate training and development.

Performance appraisals are also conducted on employees who have reached probationary period which is ranged between three months to six months on their first engagement by the company. On newly recruited staff there was no consistency in the manner the appraisals were conducted, this simply means there was need for a proper enforcement.

Generally, according to the researcher claims that, Zambart's performance appraisal process lacked the appropriate implementation of individualised performance related pay which was cardinal if the performance appraisal process was going to be taken seriously by employees. Additionally, another area of concern was the aspect of lack of necessary skills on the part of line managers in conducting the performance appraisal due to lack of training regarding how the appraisal process could be effectively conducted.

Basically, lack of necessary skills on the part of supervisors in conducting appraisals, lack of individualised performance related pay and lack of enough resources set aside for training in case of deficiencies in skills among others could culminate into employees not having confidence in the appraisal process, hence making this study worth undertaking.

2.2. Staff Appraisal and Training

Performance appraisal was a formal management system that provided for the evaluation of the quality of an individual's performance in an organization. Dessler, (2005) said that performance appraisal has the means to evaluate an employee's current and past performance relative to the employee's performance standards. It was a process which involved creating work standards; evaluating employee's actual performance relative to those work standards; and giving feedback to an employee so as to motivate him or her to improve the job performance or to eliminate performance deficiencies. Performance appraisal therefore was one element of performance management which involved different measurements throughout the organisation. Performance appraisal was the most important if the organisations were to take the advantage of their most important asset, employees, and gain human capital advantage.

Any organization that wanted to succeed, and continue succeeding, has to maintain the workforce consisting of people who are willing to learn and develop continuously. Hence, training and developing of human capital is tremendously important in the effective management and maintenance of a skilled workforce. It was one of the ways of improving organization's effectiveness. This need for training pervades all levels of industry, for a national level where a country's well-being was enhanced by training, to each company where productivity was improved, down to the individual whose skills are enhanced and as a result improve their position in the workplace. In other words, Training was one of the most pervasive methods for enhancing individual productivity and improving job performance in the work environment (Goldstein and Ford 2002; Gupta and Bostrom 2006). Therefore, training effectiveness must cause behaviour change (i.e. skill transfer for job performance), thereby resulting in organizational performance (Goldstein and Ford 2002). Training was one of the ways of improving organization's effectiveness. It could be described as 'providing the conditions in which people could learn effectively'. To learn was 'to gain knowledge, skill, ability' (King, 1968: P. 125).

Training was one of the most pervasive methods for enhancing individual productivity and improving job performance in the work environment (Goldstein and Ford 2002; Gupta and Bostrom, 2006). Training effectiveness must cause behaviour change (i.e. skill transfer for job performance), thereby resulting in organizational performance (Goldstein and Ford 2002). Training was a part of the human resource development, along with the other human

resources activities, such as recruitment, selection and compensation. The role of human resource department was to improve the organization's effectiveness by providing employees with knowledge, skills and attitudes that would improve their current or future job performance. Training was widely understood as communication directed at a defined population for the purpose of developing skills, modifying behaviour, and increasing competence. In order to implement the right training methods, the training specialist should be aware of the pros and cons and effectiveness of each training method.

To be effective, training method should; motivate the trainee to improve his or her performance, clearly demonstrate desired skills, provide an opportunity for active participation by the trainee, provide an opportunity to practice, provide timely feedback on the trainee's performance, provide some means for reinforcement, while the trainee learns, be structured from simple to complex tasks, be adaptable to specific problems, encourage positive transfer from training to the job (Woods, 1995, p180). Role of training may be seen as "ensuring that the organization has the people with the correct mix of attributes, through providing appropriate learning opportunities and motivating people to learn, and thus enabling them to perform to the highest levels of quality and service" (Bentley, 1990:25). Training activities and businesses objectives are related to each other as links. Effective training program helps organisations to achieve their objectives. General objectives of training activities were; orienting new employees to the organization and their job, helping employees perform their current jobs well, helping employees qualify for the future jobs, keeping employees informed of changes within the organization, providing opportunities for personal development (Drummond, 1989:165).

a). In house job training

In house training or On the Job Training was the process in which one person, most often the supervisor or lead person of a work area, passes job knowledge and skills to another person (Broadwell, 1986). Jacobs and Osman-Gani (1999) found that in house training is the most frequently used training approach for organisations in many countries, across several business sectors.

An in-house training of employees was about an organisation conducting a training aimed at meeting specific training needs of employees on-site. This training could be provided anywhere. In house training also known as on-the-job training was designed to meet specific organisational needs in a cost effective and efficient manner. Job instruction training was a

structured approach to training, which requires trainees to proceed through a series of steps in sequential pattern. The technique uses behavioural strategy with a focus on skill development, but there are usually some factual and procedural knowledge objectives as well. This type of training was good for task oriented duties such as operating equipment. The instructor or supervisor prepares a job breakdown on the job, while watching an experienced worker perform each step of the job. Job instruction technique consisted of four steps, preparation, present, try out, and follow up (Blandchard and Thacker, 1999:306).

In- house training offers employers and employees advantages that are not found when you send an employee to an external training program or seminar. For example, providing the employee access to higher level, more strategic meetings and assigning an employee to spend more time with his or her boss in a coaching/mentoring relationship. It also provided an opportunity for the employee to cross-train in other roles and responsibilities. The purpose of the on-the-job training session was to provide employee with task-specific knowledge and skills in work area. Job instruction technique, job rotation, coaching and apprenticeship training were the common forms of on-the job training methods. Job rotation was the commonly used and was the systematic movement of employees from job to job or project to project within an organization, as a way to achieve various different human resources objectives such as: simply staffing jobs, orienting new employees, preventing job boredom or burnout, rewarding employees, enhancing career development, exposing employees to diverse environments (Woods, 1995:188).

Carnevale and Gainer (1989) estimated that an employee learns 90 percent of his or her job knowledge and skills through On the Job Training or in house training. However, most of the On the Job Training programs conducted in organisations can be considered unplanned or, as described by Swanson and Sawzin (1975), unstructured in nature.

b). Away from the-job-training

Hamilton, (1990; Harris et al., 1998) said that away from job training or off-the-job training generally added an extra dimension to the training undertaken. For example, it afforded the chance to learn about practices in other companies and to learn skills that might not be utilised in the particular workplace. Off-the-job training is a method of training, which is undertaken at a site, away from the actual workplace for a particular period. The reason behind imparting training at a place other than the job location is to provide a stress-free environment to the employees where they can concentrate only on learning.

The organisation where there was no off-site -job training, the amount of training was subject to the whims of the organisation and of the supervisor. Training which takes place in the environment other than actual workplace is called away from the job training or off-the-job training. Off-the-job training is usually designed to meet the shared learning needs of a group rather than a particular individual's needs. Off-the-job training can be conducted in an off-site training classroom near the job setting, in an adjoining facility dedicated exclusively to training, or in a corporate or private facility located far away from the work setting. In many instances, off-the-job training requires extensive travel, training classrooms, vestibule training setups, and specially constructed training laboratories are some examples of off-the-job training sites. The trainees are free to express their views and opinions during the training session. Training which takes place in an environment other than the actual workplace is called off-the-job training. Off-the-job training is usually designed to meet the shared learning needs of a group rather than a particular individual's needs. Lectures, computer-based training, games and simulations are the common forms of off-the-job training methods.

2.3 Reasons Institutions Undertake Performance Appraisal Based training.

The ultimate goal of performance appraisal should be to provide information that will best enable managers to improve employee performance. Thus, ideally, the performance appraisal provides information to help managers manage in such a way that employee performance improves. Cleveland and her associates (Cleveland et al., 1989) presented a classification of the reasons for conducting appraisals in organisations, and these included documentation, within-person decisions (feedback on strengths and weaknesses) and between-person decisions (who to promote). Much earlier, Meyer, Kay, and French (1965) discussed the -split roles of performance appraisals, citing developmental feedback and decision making as the two major purposes for conducting appraisals. Performance appraisal of an employee is imperative in managing the human resource of an organization, (Dilsiz, 2006). General objectives of training activities are; orienting new employees to the organization and their job, helping employees perform their current jobs well, helping employees qualify for the future jobs, keeping employees informed of changes within the organization, providing opportunities for personal development (Drummond, 1989:165).

It helps to identify and overcome the problems faced by the employees on his/her work (Mackey and Johnson, 2000:3). Although it has many benefits for the organization, Anderson (2002:80) states that performance appraisal have the equal probability of having a bad impact on the organization as well as on employee performance.

2.4 Models of Staff Performance Appraisal system and Training

Hale and Whitlam (2000) claimed that as with many human resource systems, performance appraisal systems evolved out of a perceived requirement to institutionalise and centralise good human resource management practice. The systems were set up in order to aid corporate decision-making, particularly for the purposes of salary review and promotion. The assumption was that line managers concentrated on their line activities and the human resource manager was interested in the people aspects of management. This led to the disempowering of the line manager and the abdication of good people management practices to the human resource department.

In the 1960s it was realised that a more systematic approach ought to be used and hence the introduction and development of a number of performance appraisal techniques including the popular technique called the management by objectives (MBO). But although very logical in design, the systems were less successful in practice because it was implemented mechanistically and that objectives were imposed on subordinates from above. Critics to MBO argue that the style was judgemental, and feedback would be given without the right to reply. By the end of 1960s, performance appraisal was generally seen as a more participative, problem solving process concentrated on task performance rather than personality (Fletcher and Williams, 1992).

The following decade saw a number of more specific development and an even greater shift towards openness and participation in appraisal, reflecting changes in society as a whole. Belief about the nature of human abilities, theories of motivation, trade union concerns, government legislation and changing social attitudes have all influenced and modified performance appraisal process (Fletcher and Williams, 1992). During the 1990s the evident difficulties of assessment and appraisal as isolated activities resulted in growing shift in performance management and the need to link the requirement of business strategy to all employees (Fletcher and Williams, 1992). Hence the performance measurement system like Balanced Score Card .Although the CIPD (2005) purport that there is no one right way to

conduct an appraisal, they do advise that there are five key elements to a performance appraisal, underpinned by effective dialogue.

With the change towards knowledge-based capitalism, maintaining talented knowledge workers is critical. However, management classification of 'outstanding', 'poor' and 'average' performance may not be an easy decision. Besides that, superior might also tend to judge the work performance of their subordinates informally and arbitrarily especially without the existence of a system of appraisal. In this paper, we propose a performance appraisal system using multifactorial evaluation model in dealing with appraisal grades which are often express vaguely in linguistic terms. The proposed model is for evaluating staff performance based on specific performance appraisal criteria. The project was in collaboration with one of the Information and Communication Technology Company in Malaysia with reference to its performance appraisal process.

Unlike earlier performance appraisal systems where the application of the systems were limited to the managers, there were trends to broaden the application of performance appraisal systems to employees in most job roles, and making performance appraisal much more than a top-down only process. It is commonly accepted that performance appraisal is more effective if an appraisee have more involvement in the review of his own performance (Hale and Whitlam, 2000). Moreover, with the development in upward appraisal, whereby the subordinate actually appraises the performance of the boss, performance appraisal has become even more democratised.

Some observations on the development of performance appraisal practice concluded that the changes that takes place in the field of performance appraisal illustrate the fact that activity in this area reflect wider changes in societies as a whole. As societies have become more open and less rigid, so has performance appraisal. Performance appraisal has developed from becoming the sole concern of top management to being something that the appraises, the trade unions, the government have a say in (Fletcher and Williams, 1992).

Performance appraisal research has primarily focused on perfecting the appraisal instrument and measurement issues which has led to the system being built around a central technique (Daley, 1993). Basically, there are two appraisal techniques- subjective based procedure which deals with observable acts and the objective based procedure which defines performance according to tasks and targets (Orpen & Christopher, 1997); (Daley, 1993). The

type of technique used drives the appraisal process and contributes to organizational development.

2.5 Behaviorally Anchored Rating Scales: (BARS)

Behaviorally anchored rating scales are a modernised or extended version of the subjective graphic scale. They are an apparent attempt to transform the graphic rating scale into an objective appraisal in terms of level of performance and performance objectives. In other words, they are corrective measures for many of the subjective concerns that cloud the validity and hinder the use of graphic rating scales (Daley 1993). Fletcher, (2009) States that this is an objective performance appraisal that describes performance along the continuum measuring from low to high. Each job performance is customised and is not assessed generically hence needing a lot of expertise and resources. It is therefore uneconomical and therefore not widely used.

Even though BARS have received much attention in the private sector, they are also relevant to the governmental settings because it is process-oriented rather than result-oriented. This is perhaps even more characteristics of public sector than private organisations. Teamwork and conditions of fragmented authority which are more likely to occur in government agencies are factors that inherent in the BARS approach to performance appraisal. (Condrey, 2012).

This technique specifies definite computable, quantifiable, and observable job behaviour on a range and the employee is rated on the basis of his/her behaviour along the continuum. The scales combine elements of critical incident and graphic rating approach. In anchoring behaviours with specific examples BARS has two main options to choose from-behaviourally expected scales (BES) which represents managements judgment call as to what can be done and the behaviourally observed scales (BOS) which anchors its behaviours firmly in the reality of the situation (Latham, 1994)

Furthermore, the BARS represent a passive application of participatory leadership where employees are incorporated in decision making process. For the approach to work it must be

accompanied by bureaucratic immunity and structural accommodation. Bureaucratic immunity prevents ordinary standards procedures and control process which can thwart change and success. Structural accommodation employs a high degree of autonomy in terms of decision making and resource allocation (Thompson et. al., 1999)

2.6 Management by Objective Appraisal system

The management by objective approach originated as a process whereby managers can transform their strategic plans into implementable action (Daley, 1993). In this approach, participation is central; goals and objectives are worked out based on mutual understanding. This enhances teamwork and relationship building among the supervisors and the employee. In addition, there is constant communication between the participants, prior notice is given before scheduling the evaluation process and at the end of the process "performance review or rating" is discussed and analysed.

The MBO is a result-oriented and objective approach which often decentralises power to lower-level decision makers and tailors each individual's performance with job responsibilities. Employee participation in work-related decision making gives him/her a sense of belonging which increases performance and productivity. Furthermore, MBO is a means of setting precedence and resource allocation for achieving them. However, the public sector often works in ambiguity due to the political environment that dominates it. This has the potential to undermine the implementation of MBO in that sector. Hence, organisations resort to using the BARS format for those positions that involve numerous incumbents. Nevertheless, due to the inherent problems associated with the subjective techniques in terms of lack of communication, inter-rater differences, errors and inability to adequately explain to others the procedure of the appraisal, objective technique is most preferred. Hence, behaviorally anchored rating scales (BARS) and management by objective (MBO) approaches are most often used in place of subjective essays, graphic rating scales, forced choice checklist and forced distribution interpersonal comparison (Daley, 1993).

Murphy, (1995) states that MBO method is a joint effort between the manager and the subordinate in setting up objectives and targets. Rewards therefore are tied to the achievement of these agreed targets, which are evaluated and feedback given on an ongoing basis. The work planning and review; managements of agreed upon goals; control of these goals and management of the results are steps that bound the MBOs. The method is suited for

both evaluative as well as development of the employees. MBO method however, is not economical in a situation where a superior has a larger span of control. The nature of MBO is that both must jointly set and monitor goals on an ongoing basis. As a result the method is not widely used and where used, it is used as part of the generic performance appraisal process and specifically on the part of employee development (Murphy, 1995)

2.7 Ranking methods

Literature available reveals that Ranking Method evaluates employee's performance ranked from worse to best. (Dessler et al., 2011). It is often used for evaluative decision such as promotions and choosing employee of the month. Normally pre-determined categories are established such as from 1-10 is poor; from 11-20 is good and from 21-30 is very good. It can also be used by superiors in developmental decisions such as letting employees know where they stand in relation to fellow colleague's performance so as to allow them strive to improve their own performance (Rothwell, 2012).

2.8 Graphic Rating Scale Form

This performance appraisal form is most popular and widely used because of its generic application to most jobs, therefore more economical. It is a measurement on a continuum by the superior who is rating a subordinate in simple words such as excellent, good, average, fair and poor. It has a numerical scale and used for both evaluative as well as developmental decision making purposes (Dessler et al., 2011).

2.9 Critical Incidents Method

Line managers and supervisors record written positive as well as negative narrations of critical incidents during performance period of an employee. For it to be effective, coaching on how to record information is important and disciplining along the way than wait till it is appraisal time. This helps remove disagreements during performance appraisal, which should never have surprises. Critical incidents method is used for both evaluative as well as developmental decision making purposes. (Fitzwater, 1998).

2.10 European Foundation for Quality Management Model (EFQM)

The European Foundation for Quality Management (EFQM) Excellence Model is a management model with a self-assessment framework which can be applied to any organization to evaluate qualitatively the strengths of work performance and measure the areas of improvement across all activities that constitute a particular task. The model looks at

four themes as enablers which examine what the organization is doing. These themes include among them-Customer Satisfaction, People Satisfaction, Impact on Society and Key Performance Results-which the organization achieves.

2.11 360 Degree Feedback

This method involves getting a feedback about the employee from every individual who interacts with him during his working hours. They can be his peers, his subordinates, his superiors, customers who have interacted with him and even he himself would be interviewed about his perception of himself and his duties at the workplace. This performance appraisal method would be very useful for start-ups, because the best way to review an employee's overall performance and get an insight about his behaviour, personality and attitude this is the best method to follow. Although it is a little time consuming, but it is cost effective and precise. It keeps biases out of play due to multiple opinions, so that the review isn't affected by biases of one person.

Appraisals are the means to an employee's career development. Therefore, effective performance appraisal methods not only help the employee grow, but also the organisation. If the employee is given feedback regularly and frequently, the organisation will be at the receiving end of the profit too. Performance reviews are important because they help identify and set goals for the employee, recognise performance over time, guide progress, identify the problem areas or weaknesses, improve performance and discuss career development in the company. Companies should give promotions and appraisals frequently because it keeps the employees motivated to perform better, thereby maximizing the efficiency of the employee, and the productivity of the company.

2.12 Benefits of Performance Appraisal

Supervisors and employees generally have ambivalent attitudes, at best, toward performance appraisal (Cederblom&Pemerl, 2002). Although most would recognise the perceived benefit, in principle, of documenting, communicating, and setting goals in areas of performance, many are also frustrated concerning the actual benefit received from performance appraisal in their organisations. At the other extreme, there are many strong advocates of performance

appraisal and some view it as a very critical aspect of organization life (Lawrie, 1990). Roberts (1998) defined the two extremes concerning performance appraisal as running from öblind advocacy to outright vilificationö. In between these two extremes there are varying schools of thought and belief. While most people advocate the use of performance appraisal, there are many different opinions on how and when to apply it.

2.13 Pitfalls of Performance Appraisal

Oberg (1972) mentions several pitfalls that are common to performance appraisal systems: (a) they demand too much from supervisors, (b) standards and ratings vary widely and sometimes unfairly, (c) personal values and bias can replace organizational standards, (d) employees may not know how they are rated due to lack of communication, (e) the validity of ratings is reduced by supervisory resistance to give the ratings - particularly negative ratings, (f) negative feedback can demotivate employees, and (g) they interfere with the more constructive coaching relationship that should exist between superiors and their employees. Bretz et al., (1992) found that organisations continue to do things that undermine the effectiveness of the appraisal process. Little time is spent on the appraisal process, raters are not trained and are not held accountable, and the employee's role in the process is overlooked along with potentially valuable sources of performance information from the employee, peers, and subordinates.

Murphy and Cleveland (1995) found that there are a number of ways that performance appraisal can hurt an organization. First, the system can overemphasise the work of the individual and underemphasise the work of the team. Second, performance appraisal can often send mixed messages about the most and least important aspects of job performance and about the importance of performing well. Third, performance appraisal is often a source of discontent for the manager and the employee being appraised. In a research study conducted by Longenecker (2005), several consequences of ineffective performance appraisals were identified. They included stifling performance improvement, demotivating managers, breeding loss of managers' confidence, causing a loss of managerial focus on priorities, causing the breakdown of pay-for-performance systems, reducing effectiveness of management development efforts, creating tension in work relationships with supervisors, and causing ineffective goal setting. Longenecker's conclusion was that when performance appraisal is done well, it is an effective tool for increasing managerial effectiveness.

However, when it is done poorly, it is a dysfunctional organizational practice and has many negative results as mentioned earlier on.

2.14 Theories used in Performance Appraisal System and Human Resource Development.

Goal theory was adopted for this study. The theory proposes that human beings are more motivated to act when there is a reward at the end of the performance of a task or behaviour. Motivation theories and need theories are all theories brought forward in view of understanding what underlying goals determine which kind of behaviour. The goal theory proposes that a reward at the end of a task or behaviour acts as a motivation for the performance of that said task or behaviour. However the reward should be clearly stated. The end state can be the reward in itself. It is proposed that an efficient goal must have four components: proximity, difficulty, specificity, and feedback. An ideal goal is a goal where the time between the reaching out and the end state is close.

It is moderate in difficulty, neither too easy, to present some challenge, nor too difficult, so that success seem possible. The goal should be specific. The individual must understand what is expected out of him, to start out for the goal. A specific goal gives direction of focus to that specific goal and away from distractions. Feedback is necessary for measuring progress towards the goal. Feedback makes it possible to know whether the level of efforts is adequate and in the proper direction or needs corrections. The relevance of this theory to the research study can be credited to the works of Lathan and Locke (1979) that highlights four mechanisms that connect goals to performance outcomes. First, goals direct attention to priorities that is when specific goals are set for workers it drives their attention to priorities of achieving the goals. Second, they stimulate effort, in other words when sets of goals are attached to specific reward system it stimulates workers to work better and effectively. Third, they challenge people to bring their knowledge and skills to bear to increase their chances of success. Fourth, the more challenging the goal, the more people will draw on their full repertoire of skills.

Performance appraisal is however, seen by many people as an important contributor to human resource management. Performance appraisal and reviews have become a necessary part of most work environments (Nelson, 2000). Systematic information is required by an organization on how well an employee is doing in his or her work is regarded as the key element to ensuring the effective usage of human resource (Towers, ed., 1996).

According to De Cenzo et al., (1994), for an organization to compete effectively, it must be on the right track towards achieving its goals. This can be assisted by constantly assessing the performance of its employees. McGregor believes that if performance appraisal is focused on the individually-set goals for self-improvement, it can be very helpful to an individual (Bounds. et al., 1994). Appraisal schemes especially the good ones can be essential means toward the combining of the individual's ambitions and self-development with the requirements and opportunities in the organization. There are different theories that help people understand the relationship between performance appraisal and job satisfaction. Research in cognitive psychology shows that measurable and challenging goals help to align individuals' and companies' goals leading to higher levels of motivation and hence, employees' work effort (Locke & Latham, 2002).

Furthermore, goal setting theory implies that the level of goal achievement is closely related to employee satisfaction of their work and their performance levels. Most often, organisations link goal achievement to remuneration systems such as performance related pay. In this context, previous research have shown that performance related pay is associated with higher levels of overall job satisfaction (Heywood & Wei, 2006; Green & Heywood, 2008). In a recent paper, according to Bryson et al. (2012) there was an empirical investigation regarding the relationship between piece-rate, team incentive, profit-sharing scheme and job satisfaction and show that workers under Performance Related Pay (PRP) schemes are more satisfied with their job, controlling for wage levels as well as individual, business unit and country fixed effects.

Previous research has broadly analyzed the impact of the social context of performance appraisals on employee reactions to these appraisals (Levy & Williams, 2004); Pichler, 2012). One dimension focuses on the rater-rate relationship comprising issues to do with supervisor support, trust, rating accuracy and reliability as a precondition for the acceptance and usefulness of formal appraisal systems. Rating distortions, which are very prominent in organisations (Kane et al., 1995; Moers, 2005), lead to less acceptance among employees and decrease the economic incentives to provide effort (Prendergast & Topel, 1996). These rating distortions may have very different reasons including strategic incentives of the raters such as favouritism or punishment (Poon, 2004), or interpersonal motives (Murphy & Cleveland, 1991, 1995). Furthermore, it has been shown that raters' personality traits influence overall rating decisions (Krzystofiak et al., 1988).

Additional contextual factors include, for instance, employees' satisfaction with the performance appraisal process in its entirety, the performance appraisal feedback, or employees' evaluations of the perceived quality, justice and fairness of the performance appraisal regime (Greenberg, 1986; Nathan et al., 1991; Blau, 1999; Pettijohn et al., 2001; Jawahar, 2006; Kuvaas, 2006; Lau et al., 2008; Sommer & Kulkarni, 2012; Gupta & Kumar, 2013). Furthermore, employee participation in the performance appraisal is positively related to the satisfaction with the performance appraisal system, perceived fairness, and acceptance of such practice (Cawley et al., 1998). Brown et al. (2010) analyzed the relationship between performance appraisal quality measured by clarity, communication, trust and fairness of the performance appraisal process, job satisfaction and commitment based on the sample of more than 2,300 Australian non-managerial employees of the large public sector organization. They found that employees who report a low Performance Appraisal (PA) quality pertaining to lowest levels of trust in supervisor, poor communication, and lack of clarity about expectations, perception of a less fair performance appraisal process also report lower levels of job satisfaction and commitment.

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 goals and objectives. 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.

Despite its flaws, performance appraisal is a known effective way of setting employee targets and evaluating such targets against their performance. 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 and evaluating employees' 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) In Heskett's (2007) paper, he sought people's views on the essence of having performance appraisal and 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.

2.15 Theories used in Eliciting Challenges

Theory of constraints

This study will use the theory of constraints. The theory of constraints, developed by Dr. Eliyahu Moshe Goldratt in the 1980s, identifies factors preventing your company from reaching its goals. Dr. Goldratt who holds a Ph. D. in physics has often stated that in developing the Theory of Constraints, he had applied the techniques of the hard sciences, such as cause-and-effect analysis, to soft sciences such as business management. The fundamental thesis of TOC is that constraints establish the limits of performance for any system. Most organisations contain only a few core constraints. TOC advocates suggest that managers should focus on effectively managing the capacity and capability of these constraints or bottlenecks if they are to improve the performance of their organization. The removal requires their identification. Removing bottlenecks may include eliminating, or simply acknowledging them (Johnston and Clark, 2005). To systematically locate bottleneck areas and define their causes, e.g. capacity constraints, problems in the system, network or organization (de Bruin et al., 2005; Zhang et al., 2007) can be named as a bottleneck analysis. Methods for conducting bottleneck analyses vary from linear programming to control theory (Koltai, 1995) or from queuing theory (de Bruin et al., 2005; Chen and Mandelbaum, 1991) to the theory of constraints (TOC) (Pegels and Watrous, 2005).

Goldratt's theory measures operational performance in key areas and uses the results to streamline operations. The theory of constraints (TOC) is a management paradigm that views any manageable system as being limited in achieving more of its goals by a very small number of constraints. There is always at least one constraint, and TOC uses a focusing process to identify the constraint and restructure the rest of the organization around it. TOC adopts the common idiom "a chain is no stronger than its weakest link". This means that processes, organisations, etc., are vulnerable because the weakest person or part can always damage or break them or at least adversely affect the outcome.

Constraints

A constraint is anything that prevents the system from achieving its goal. There are many ways that constraints can show up, but a core principle within TOC is that there are not tens or hundreds of constraints (Noreen et al., 1995). There is at least one, but at most only a few in any given system. Constraints may be resource constraints such as a person or department that cannot keep up with market demand. There are also policy constraints and dummy constraints. A policy constraint is a management decision or business culture that limits the system. For example, in the landmark book, *The Goal*, the plant highlighted in Goldratt's novel had a resource constraint. At first, this resource was shut down during lunch breaks and shift changes, losing four to five hours per day across three shifts. This policy was a constraint. By working the resource truly all the time the Throughput of the plant was increased. A dummy constraint is a resource constraint that is easily broken. For example, in *The Goal*, the constraint resource was down occasionally awaiting the setup crew, making the setup crew a constraint. This is a dummy constraint because the cost of a setup crew is very small compared to the thousands of dollars per hour lost when the constraint was idle. A dedicated setup crew was applied to the resource constraint, breaking this dummy constraint.

All these constraints could be categorised into two. Constraints can be internal or external to the system. An internal constraint is in evidence when the market demands more from the system than it can deliver. If this is the case, then the focus of the organization should be on discovering that constraint and following the five focusing steps to open it up (and potentially remove it) (Demircio lu et al., 2010). An external constraint exists when the system can produce more than the market will bear. If this is the case, then the organization should focus on mechanisms to create more demand for its products or services (Mabel et al.,

2002; Mukherjee and Chatterjee, 2007). In this study, we shall focus on internal constraints or bottlenecks.

Bottlenecks are any process activities, constraining organisational performance (Hill, 2011; Slack and Lewis, 2005) with, e.g. the slowest cycle time, arising from any type of process disturbances (Fitzsimmons and Fitzsimmons, 2008). Understanding a bottleneck requires understanding a larger system (Slack and Lewis, 2005) as no system advances quicker than its slowest bottleneck component (Belasco, 1988).

Types of (internal) constraints

- a) Equipment: The way equipment is currently used limits the ability of the system to produce more salable goods/services (Cox et al., 2005).
- b) People: Lack of skilled people limits the system. Mental models held by people can cause behaviour that becomes a constraint (Robbins, 2011).
- c) Policy: A written or unwritten policy prevents the system from making more (Sadat et al., 2013).
- d) No value to an organisation (Sadat, 2009).
- a) No reward to an organisation (Robbins, 2011; Chou et al., 2012).
- b) No money to execute particular tasks (Cox et al., 2005; Chou et al., 2012).

How the Theory Works

The theory of constraints assumes that your business performance can't improve because of some specific problems or inefficiencies that are holding you back. You can find the constraints by looking for undesirable effects. Typical undesirable effects in a production line include extended waiting times, a build-up of parts or materials, production errors and variable production volumes (Chou et al., 2012). Look for the causes of the undesirable effects, such as a machine that has insufficient capacity, an employee who needs additional training or a badly-designed manufacturing sequence. While you may find several causes, the main constraint causes the most undesirable effects and should be dealt with first. When you

make changes to remove the main constraint, your performance improves but another main constraint limits further improvement (Coman and Ronen, 1994).

Justification of the use of the TOC

Theory of constraints has a wide range of implementation scale. Theory can be applied in production, logistics, supply chain, distribution, project management, accounting, research, and development, sales and human resource practice. As the main idea is that every system has weak points. According to this point of view, constraints are main obstacles at achieving companies' aims (Chaudhari and Mukophadhyay, 2003).

In other words, everything which exists in the road of having more profit is considered as a constraint. So, if companies can handle constraints in their system and manage these constraints, they would have a continuous improvement management system thus they could achieve higher profits. This simple logic leads to many questions and for this reason alone pushes researchers to investigate every aspect of TOC. It should be noted that organisations have many problems with equipment, people, policies, etc. (A breakdown is just that ó a breakdown ó and is not a constraint in the true sense of the TOC concept). The constraint is the limiting factor that is preventing the organization from getting more throughput (typically, revenue through sales) even when nothing goes wrong (Chaudhari and Mukophadhyay, 2003).

The Theory of Constraints is a methodology for identifying the most important limiting factor (i.e. constraint) that stands in the way of achieving a goal and then systematically improving that constraint until it is no longer the limiting factor. In manufacturing, the constraint is often referred to as a bottleneck.

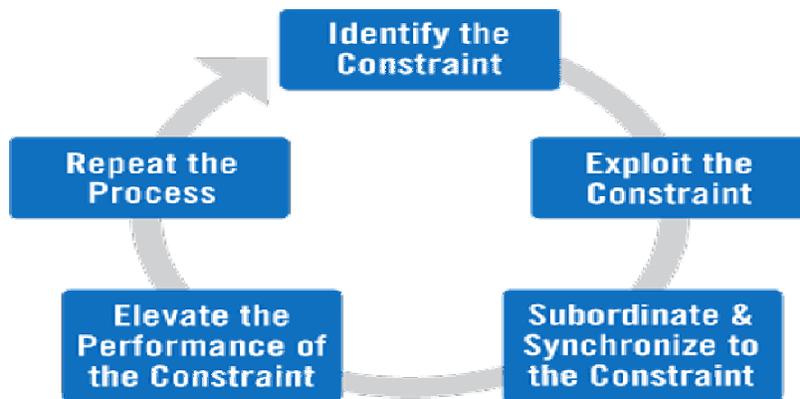
The Theory of Constraints takes a scientific approach to improvement. It hypothesises that every complex system, including manufacturing processes, consists of multiple linked activities, one of which acts as a constraint upon the entire system (i.e. the constraint activity is the 'weakest link in the chain').

The Theory of Constraints provides according to Chaudhari and Mukophadhyay (2003) is a powerful set of tools for helping to achieve a firm's goal, including:

- The Five Focusing Steps (a methodology for identifying and eliminating constraints)
- The Thinking Processes (tools for analysing and resolving problems).
- Throughput Accounting (a method for measuring performance and guiding management decisions).

The Five Focusing Steps in Addressing the Problem

The Theory of Constraints provides a specific methodology for identifying and eliminating constraints, referred to as the Five Focusing Steps. As shown in the following diagram, it is a cyclical process. The Theory of Constraints uses a process known as the Five Focusing Steps to identify and eliminate constraints (i.e. bottlenecks).



The Five Focusing Steps are further described in the following table.
 Source: <https://www.leanproduction.com/theory-of-constraints.html>

Table 1: Focusing Steps

Step	Objective
Identify	Identify the current constraint (the single part of the process that limits the rate at which the goal is achieved).
Exploit	Make quick improvements to the throughput of the constraint using existing resources (i.e. make the most of what you have).
Subordinate	Review all other activities in the process to ensure that they are aligned with and truly support the needs of the constraint.
Elevate	If the constraint still exists (i.e. it has not moved), consider what further actions can be taken to eliminate it from being the constraint. Normally, actions are continued at this step until the constraint has been broken (until it has moved somewhere else). In some cases, capital investment may be required.
Repeat	The Five Focusing Steps are a continuous improvement cycle. Therefore, once a constraint is resolved the next constraint should immediately be addressed. This step is a reminder to never become complacent or aggressively improve the current constraint and then immediately move on to the next constraint.

CHAPTER THREE - RESEARCH METHODOLOGY

3.0 Introduction

This chapter presents the approach that was used in the design and execution of the study; including description of the procedures and methods of data collection and analysis. It describes the research design, the study area, study sample and sample selection, data collection procedures, data analysis and processing and the limitations of the study were given and explained. (Blumberg, et al., 2014: 152). The research design constitutes the blueprint for the collection of, measurement and analysis of data. It aids the scientist in the allocation of his limited resources by posing crucial choices. Thus a description is given on the methods that were selected and why they were selected (see table 2).

Table 2: Research Design Matrix

Research Question	Research objective	Population and sampling	Data Collection	Analysis
Since the implementation of staff performance appraisal system, what is the state of appraising employees at Zambart? (Nominalist ontology and abductive logic as well as realist ontology and induction).	To describe based on proportions the numbers of staff who have had in house and away from job training or none	All Zambart employees will be sampled using random sampling	Survey questionnaire	Descriptive statistics: Univariate, bivariate
		Management staff in HR by expert sampling.	Key Informant Interview (KII)	Qualitative Content Analysis
Since the implementation of staff performance appraisal, what is the state of actualisation of in house or away from the job training has been at Zambart (nominalist ontology and abductive logic as well as realist ontology and induction).	To describe the state of implementation of in house or away from job training within the staff performance appraisal (SPA) system with a view to document what is happening at Zambart and be familiar with facts.	a) Management staff in HR by expert sampling.	Key Informant Interview (KII)	Qualitative Content Analysis
		b) Employees who have undergone in house and away from the job training by purposive sampling	Purposive sampling	
Why has Zambart not considered in house or away from the job training following a staff performance appraisal (SPA)? (Nominalist ontology as well as realist ontology with deduction).	To understand from the point of view of Zambart's management, the motives for not linking performance appraisal with in house or away from the job training	All Zambart employees will be sampled using random sampling	Survey questionnaire	Descriptive statistics: Univariate, bivariate
	To test the theory of constraints if it would hold to explain Zambart's non linkage of the performance appraisal system and individualised human resource development.	Management staff in HR by expert sampling.	Key Informant Interview (KII)	Qualitative Content Analysis

3.1 Research Design

The study adopted cross-sectional mixed methods equal status research design (QUAN + QUAL). The decision to adopt an equal status is that none of the two approaches have more weight than the other during the process of the research at the data collection level, as well as the diffusion of results (Bentaharand Cameron, 2015). A mixed methods study was selected because the researcher desired to triangulate with a view to ensure convergence of evidence (Creswell and Plano Clark,2011). In addition, the researcher had different methods that were dealing with different research questions demanding two philosophical assumptions (based on realism and nominalism) (Blaikie, 2010).

3.2 Study area or Site

Participants were drawn from Zambart staff based in Lusaka which comprises Zambart Head Office, and Zambart sites namely: Chipata, Kanyama and Chawama compounds which are project sites from within Lusaka.

3.3 Study population and Sampling Techniques

The target population were all members of staff of Zambart which are 110in total from which a sample was drawn comprising of ordinary staff, middle managers as well as the Management team of Zambart. However, using Yamane formula the sample size came to be 86 members of staff of Zambart. This research population was chosen because of the levels of performance appraisal processes. Eight six staff were sampled based on the staff register. Systematic sampling was applied to select respondents for this study based on Yamane formula, described and presented below

$$n = \frac{N}{1 + N(e)^2}$$

Where n is the desired sample size, N is the population size (110), and e is the level of precision (0.05). When this formula is applied to the above sample, we get an ideal sample of 86.

As for Management and Supervisors, these were selected using purposive sampling. A purposive sample in this study required a person who was in management and was involved in appraising staff (Palys, 2008). A total of 6 key informants were enlisted in this study who met the inclusion criteria. These were:

- a) HR manager;
- b) Finance manager
- c) Intervention manager
- d) Laboratory Manager
- e) IT Manager
- f) Administrative Manager

3.4 Operationalization of the variables

If bottlenecks have to be removed, they need to be acknowledged (Johnston and Clark, 2005). To systematically locate bottleneck areas regarding training the researcher draws on the theory of constraints (TOC) (Pegels and Watrous, 2005). From the theory, the independent variables being bottlenecks are:

- a) Policy: A written or unwritten policy prevents the system from making more (Sadat et al., 2013).
- b) No value to an organisation in training employees (Sadat, 2009).
- c) No reward to an organisation in training employees (Robbins, 2011; Chou et al., 2012).
- d) No money to execute particular tasks to train employees (Cox et al., 2005; Chou et al., 2012).

These bottlenecks will take succession values on an ordinal scale as follows: 1 for strongly agree, 2 for agree, 3 for somewhat agree, 4 for disagree and 5 for strongly disagree.

The dependent variable in this study is training. This training takes three succession values as not recommended for training, or recommended for in house training or recommended for away from the job training.

3.5 Data collection instruments and process

Two data collection methods were selected in this study and these were a short survey questionnaire and key informant interviews. The short survey questionnaire was structured to bring out appraisal phenomena and aspects of training as described below.

Performance appraisal had seven questions and these included:

- a) Grading of performance appraisal score in the last year.
- b) Sent for training after appraisal.
- c) Type of training.
- d) Every year ZAMBART has been measuring how I have been performing yearly.
- e) During the appraisal meeting, my supervisor and I agreed on the challenges I faced in the period under review.
- f) During the appraisal meeting, my supervisor and I agreed on particular challenges that needed enhancement by way of training.
- g) Every year ZAMBART has been measuring how I have been performing.

Training questions were three and these included

- a) Following performance appraisal I was earmarked for on the job training.
- b) Following performance appraisal I was earmarked for away from the job training.
- c) Number of persons reached to be trained in the department in the last year.

Whereas bottlenecks questions were five and included:

- a) An unwritten policy prevents the system from making it possible for staff to be trained.
- b) No value to an organisation in training employees.
- c) No reward to an organisation in training employees.
- d) No money to execute particular tasks to train employees.

Key informant interviews focused mainly on:

Describing from their own points of views the state of implementation of in house or away from job training within the staff performance appraisal (SPA) system as well as understand

from the point of view of Zambartø's management, the motives for not linking performance appraisal with in house or away from the job training.

The interviews were structured in such a manner as to bring out key issues surrounding:

- 1) What is done in a department when staff have been appraised and found to be wanting in knowledge and skill?
- 2) Training needs and linkage with appraisal.
- 3) Motives for the current position regarding training and staff appraisal.
- 4) How staff get trained following Staff Performance Appraisal.

These two tools were chosen because having a mix would render mundanenatural realism. That is a broad and deep way of conceptualizing the relative advantage of positivist evidence and post positivist evidence so as to describe phenomena that would be of closeness to real - world concerns within Zambart (Blumberg, et al., 2014: 149).

The survey question was administered by the researcher. The researcher gave the respondents the questionnaire in their places of work. The identification of respondents was easy as the researcher had a master register with the names of respondents who were enlisted. Respondents were asked to call or email the researcher once the questionnaire was answered at their own time. Reminders were sent after one week when the researcher noticed that notices were not rendered.

The six key informants were interviewed in their offices when they felt it convenient. The interviews lasted 45 to 60 minutes.

3.6 Data analysis

Data collected was carefully edited, sorted and coded to eliminate the inconsistencies and errors that were made during the data collection process. Quantitative data was pre coded before entering based on the levels of measurement assigned to each question (see Appendix I). Quantitative data was analysed using SPSS version 18. Descriptive analysis was performed to profile associations, measures of central tendencies and dispersions.

Qualitative data was analysed using Qualitative Content Analysis. This refers to the process of categorizing verbal or behavioural data to classify, summa (QCA). The analysis was similar to constant comparison analysis, which is evident in grounded theory. The constant comparative method is one way to conduct an inductive analysis of qualitative data (Glaser and Strauss, 1967; Lincoln and Guba, 1985). The constant comparative method (CCM) of analysing qualitative data combined inductive category coding with a simultaneous comparison of all units of meaning obtained (Maykut and Morehouse, 1994:134) from each respondent. This form of analysis includes creating smaller chunks of the data and then placing a code with each chunk. However, instead of creating a theme from the codes (as with constant comparison analysis), with classical content analysis, these codes then were placed into similar groupings. A typical example would then be selected that could be representative or a variant.

3.7 Ethical Considerations

The conduct research was guided by three fundamental principles as described below:

1. Respect for Persons

This principle incorporates two elements that deal with respecting people in regard to research. Respondents were treated as autonomous. The term autonomous means that a person can make his or her own decisions about what to do and what to agree to. The researcher ensured respect by allowing individuals making their own informed decisions about whether to participate in research. In order to treat people as autonomous, respondents were provided with complete information about a study and decide on their own whether to enroll. Some people in society may not have the capacity to make fully informed decisions about what they do or what happens to them. This could include those with mental disabilities. In such cases, these people were protected and needed to be included in research under specific circumstances, since they cannot make a true informed decision on their own.

2. Beneficence

The definition of beneficence is action that is done for the benefit of others. The researcher assured the respondents that he will do no harm. The respondents were availed all the information about the purpose of research. The purpose of health research is to discover new information that would be helpful to society. The purpose of research should never be to hurt

anyone or find out information at the expense of other people. The researcher was as such obligated to do his best to minimize possible risks like exposing ones name or position and to maximize the benefits for participants.

3. Justice

This principle which deals with the concept of fairness was also applied in the study. The researcher considered elements of fairness in terms of recruitment of participants and choice of location to conduct the study. This encompasses issues related to who benefits from research.

People who are included in research should not be included merely because they are a population that is easy to access, available, or perhaps vulnerable and less able to decline participating. The principle of justice also indicates that questions being asked in the study should be of relevance to the communities participating in the study.

The study protocol including instruments was reviewed and approved by the Ethics Committee of the University of Zambia and signed informed consent forms were filled in by respondents. A cover letter explained the purpose of the survey and asked for voluntary participation. see Appendix III.

CHAPTER FOUR - FINDINGS

4.0 Introduction

In this chapter, the research findings are categorised according to the research questions. However, before presenting the findings, the researcher outlines the demographic profile of the respondents.

4.1 Demographic profile

In this study, nearly half $n = 42$ (48.8%) of the staff were technical staff, $n = 30$ (34.9%) were other staff and $n = 14$ (16.3%) were professional staff. More than half of the employees in the sample were females $n = 56$ (65.1%) as compared to males $n = 30$ (34.9%). There was however an unequal gender distribution in the technical staff and other staff categories with females dominating (Table 3).

Table 3: Staff Category and Sex Distribution

	Staff category			Total
	Professional staff	Technical staff	Other staff	
Male	6	17	7	30
Female	8	25	23	56
Total	14	42	30	86

Source: Field data

This was a youthful sample with a mean age 36.2 (SD \pm 2.9). The youngest employee was 24 years and the oldest was 65 years. In terms of years of engagement at the place of work, the mean engagement was 5.2 years. The shortest duration was 1 year and the longest was 14 years (See Table 4).

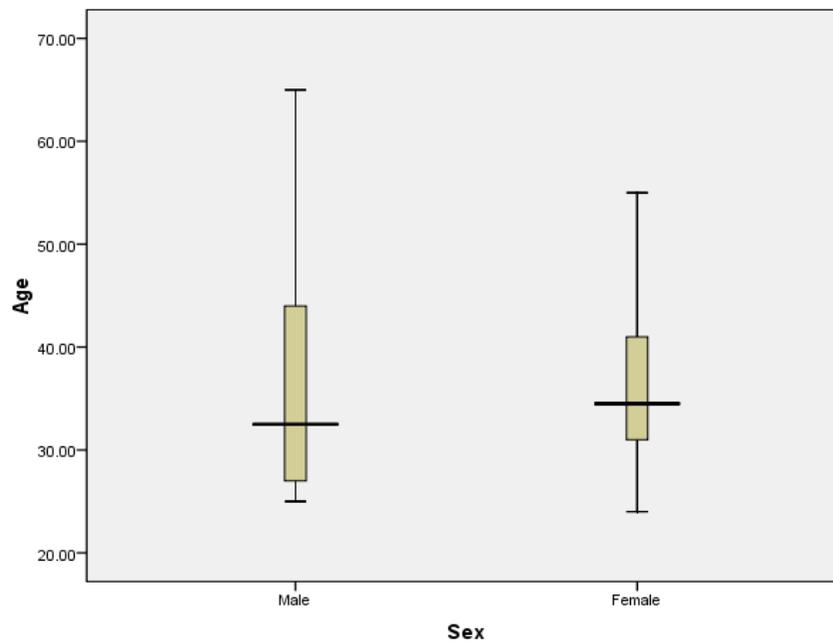
Table 4 Statistical Measures

	Years of work	Age
Mean	5.52	36.26
Median	5.00	34.00
Mode	5.00	28.00
Std. Deviation	2.96	8.77
Range	13.00	41.00
Minimum	1.00	24.00
Maximum	14.00	58.00

Source: Field data

The median age was 32.5 for males and 34.5 for females as shown in the boxplot below.

Figure 1: Age and Sex Box plot Distribution



Source: Field data

An examination of the mean age was done by rendering hypotheses. The null hypothesis (H_0) and alternative hypothesis (H_1) of the Independent Samples t Test was expressed in two different but equivalent ways as follows:

- 1) $H_0: \mu_1 = \mu_2$ ("the two population means of male and female employees are equal")
- 2) $H_1: \mu_1 \neq \mu_2$ ("the two population means of male and female employees are not equal")

The Independent Samples t test was selected as it compares the means of two independent groups. This was done in order to determine whether there would be statistical evidence that the associated population means were significantly different. In the table below of the one sample statistics, basic information is provided about the group comparisons of male and female employees on the basis of age, including the sample size (n), mean, standard deviation, and standard error for age by group. The mean age of the group is 36.2 years (Table 5).

Table 5: One-Sample Statistics

	N	Mean	Std. Deviation	Std. Error Mean
Age	86	36.2674	8.77888	.94665
Sex	86	1.6512	.47940	.05169

Source: Field data

In table 6 below are the outcomes of the Independent Samples Test. The table displays the results most relevant to the Independent Samples t Test. There are two parts that provide different pieces of information: The t -test for Equality of Means. Noting that the p value of the Sig. (2-tailed) is 0.001, we conclude that the means of the two groups of employees are statistically significantly different (males 35.8 and females 36.2).

Table 6: One-Sample Test

Test Value = 0						
	t	df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
Age	38.311	85	.001	36.26744	34.3852	38.1496
Sex	31.941	85	.001	1.65116	1.5484	1.7539

Source: Field data

4.2 The state of Performance Appraisal.

This section is about the first research question which is since the implementation of staff performance appraisal system, what is the state of appraising employees at Zambart? In this study, the state of appraisal was assessed and the following were the outcomes:

Following the appraisal in the last twelve months, only n = 34 (39.5%) of the employees were dared as high performers, n = 32 (37.2%) were medium performers and n = 20 (23.3%) were low performers (Table 7).

Table 7: Grading of Performance Appraisal

	Frequency	Percent
High	34	39.5
Medium	32	37.2
Low	20	23.3
Total	86	100.0

Source: Field data

The distribution of performance suggests that all professional staff were high performers, technical staff were more of medium performers whereas other staff were low to medium performers (Table 8).

Table 8: Staff category and grading of performance appraisal

	Grading of performance appraisal score in the last year			Total
	High	Medium	Low	
Professional staff	14	0	0	14
Technical staff	11	24	7	42
Other staff	9	8	13	30
Total	34	32	20	86

Source: Field data

In this study, Zambart conducted an annual appraisal on all staff except 5 who either strongly disagreed or disagreed. However, following this appraisal, it was evident that appraisers and appraisees discussed their appraisal and where performance was not optimum, an agreement was reached that something could be done. There were more respondents who agreed and strongly agreed than those who disagreed and strongly disagreed (Table 9).

Table 9: State of performance appraisal

<i>State of Appraisal</i>	<i>Frequency</i>									
	<i>SDA</i>		<i>DA</i>		<i>SWA</i>		<i>A</i>		<i>SA</i>	
	<i>f</i>	<i>%</i>	<i>f</i>	<i>%</i>	<i>f</i>	<i>%</i>	<i>f</i>	<i>%</i>	<i>f</i>	<i>%</i>
Every year ZAMBART has been measuring how I have been performing	4	4.7	1	1.2	5	5.8	18	20.9	58	67.4
During the appraisal meeting, my supervisor and I agreed on the challenges I faced in the period under review	6	7.0	1	1.2	2	2.3	26	30.2	51	59.3
During the appraisal meeting, my supervisor and I agreed on particular challenges that needed enhancement by way of training	3	3.5	5	5.8	16	18.6	34	39.5	28	32.6
Following performance appraisal I was earmarked for on the job training	25	29.1	7	8.1	6	7.0	22	25.6	26	30.2

Source: Field data

4.3 The state of actualisation of in house or away from the job training.

Regarding the second research question which is “Since the implementation of staff performance appraisal, what is the state of actualisation of in house or away from the job training has been at Zambart?” In this study, the researcher set to establish the extent to which the training component of a performance appraisal system is realised. This follows an agreement being reached that something could be done about the poor performance or unexpected performance. In this study, more than half of the respondents n = 46 (53.5%)

were classified as not eligible for training following appraisal, n = 30 (34.9%) underwent general in house training that was not linked to performance appraisal whereas n = 10 (11.6%) under went away from job training that was also not linked to performance appraisal (see Table 10).

Table 10: Type of Training

	Frequency	Percent
Training not considered as necessary following appraisal	46	53.5
Under went away from job training that was not linked to performance appraisal	10	11.6
Under went general in house training that was not linked to performance appraisal	30	34.9
Total	86	100.0

Source: Field data

Table 11 below indicates that type of training employees underwent based on grading of performance appraisal in the year under review. Out of n = 34 high performers who ought not to have undergone any training n = 20 (58.8%), training was not considered as necessary following appraisal. It was not expected that employees would either undergo away from job training (n = 4) and undergo general in house training (n = 10) that were in both cases not linked to performance appraisal. In the medium category of performers, out of n = 32; n = 16 (50%), training was not considered as necessary following appraisal. In the medium category and surprisingly out of the low performers n = 10, training not considered as necessary following appraisal and yet another half, n = 16 under went away from job training and general in house training that were both not linked to performance appraisal. It was surprising that for low performers, it was absolutely expected that they would all have some training and yet only 50% underwent training and not as a result of the appraisal (Table 11).

Table 11: Training and Graded Performance

	Grading of performance appraisal score in the last year			Total
	High	Medium	Low	
Training not considered as necessary following appraisal	20	16	10	46
Under went away from job training not linked to performance appraisal	4	3	3	10
Under went general in house training not linked to performance appraisal	10	13	7	30
Total	34	32	20	86

Source: Field data

Training questions included:

- d) Following performance appraisal I was earmarked for on the job training
- e) Following performance appraisal I was earmarked for away from the job training
- f) Number of persons reached to be trained in the department in the last year

4.4 Reasons for not considering training following performance appraisal.

Relating to the third research question which is "Why has Zambart not considered in house or away from the job training following a staff performance appraisal (SPA)?"

Bottlenecks questions included:

- e) An unwritten policy prevents the system from making it possible for staff to be trained
- f) No value to an organisation in training employees
- g) No reward to an organisation in training employees
- h) No money to execute particular tasks to train employees.

Below are the analyses of reasons.

There were two main dominant reasons for constraints of training following appraisal and these are the existence of an unwritten policy that prevents the system from making it possible for staff to be trained and lack of money to execute particular tasks to train employees. This is evidenced by the majority of respondents somewhat what agreeing, agreeing, strongly agree and agreeing. However, there were low scores of agreements for the question that employees had no value to warrant training following an appraisal (Table 12).

Table 12: Constraints of training following appraisal

<i>Variable</i>	<i>Frequency</i>									
	<i>SDA</i>		<i>DA</i>		<i>SWA</i>		<i>A</i>		<i>SA</i>	
	<i>f</i>	<i>%</i>	<i>f</i>	<i>%</i>	<i>f</i>	<i>%</i>	<i>f</i>	<i>%</i>	<i>f</i>	<i>%</i>
An unwritten policy prevents the system from making it possible for staff to be trained	6	7.0	3	3.5	7	8.1	19	22.1	51	59.3
No value to an organisation in training employees	26	30.2	22	25.6	6	7.0	7	8.1	25	29.1
No reward to an organisation in training employees	16	18.6	19	22.1	3	3.5	27	31.4	21	24.4
No money to execute particular tasks to train employees	6	7.0	11	12.8	7	8.1	13	15.1	49	57.0

Source: Field data

When managers were asked to comment on the linkage between performance appraisal and human resource development, it was learnt that the institution did not have a written policy and this constrained the expected role of performance appraisal from making it possible for staff to be trained either on the job or away from the job. It was also evident from the interviews that Zambart placed little or no value on training employees as it was not expected to reap any rewards from training. This was further compounded by lack of capacity to undertake a performance appraisal based training needs analysis, the existence of a negative corporate culture and lack of funds to execute particular tasks to train employees. If training was to be conducted, it was only linked to a project or programme. The excerpts below affirm these positions.

Not policy to train under performers

Yeah we do conduct appraisals annually...But it is not a policy that staff we find underperforming will be earmarked for training.

Manager 3

No resources

Two managers had the following positions on researches

Though we may go that way, to train underperforming staff, the training and development function does demand certain important resources...we do not have these resources. Our funders do not include that type of training. We have programme based training for orientation for instance.

Manager 1

Yes we have seen that following an appraisal, there are differences in employee skills that need upgrading...We would rather not like to experiment with new organizational training manuals.

Manager 3

Staff are under valued

There is little value in training all staff who score poorly. Some are not trainable. We would prefer to spend resources on high calibre staff...I mean technicians and doctors. Do not misunderstand me here...we also train other staff...

Supervisor 2

Negative corporate culture

There was a feeling among three managers who observed that there was an internal political and cultural context which prevailed. I mean there is a negative corporate culture towards a performance appraisal based training needs analysis. The following conforms this position.

The issue of first challenging and then changing the core beliefs of the top decision makers a critical factor in the theory and practice of managing strategic change.

Supervisor 1

Lack of capacity

Three managers commented on the lack of internal capacity to undertake on the job training. The managers argued against in-house training because it was rather complex. There were observed lack of expertise exhibited in certain departments and the HR department could not cope. The testimony of one manager was revealing.

I do not see Zambart managing in-house training. We have a lean staff in the departments...and the expertise is not there as yet. One would expect that the HR department would fill-in in the gap. It is not possible, most of the units are highly technical...

Manager 2

Zambart was very consistent in conducting performance appraisals and key performance indicators are used to evaluate staff on annual basis. All appraisal outcomes are agreed by both supervisor and staff.

We attach great importance to meeting targets and the quality of work. This is the reason we ensure that we are on schedule with appraisals...Staff are happy with the appraisals since we discuss on a one to one.

Supervisor 3

Results from the key informant interviews revealed that the main essence of conducting performance appraisal was not to improve performance, focusing on set goals at the end of each year but for purposes of compensation management and ensuring that individual targets are attained. This is exemplified by the excerpt below.

We look for the attainment of individual work targets, develop goals and work plans for the sun sequent year...Most of the staff do well and they are motivated because the main reason of the appraisal is to ensure quality and in the end motivate our staff...give them a salary rise or a bonus as the case may be.

Manager 5

CHAPTER FIVE - DISCUSSION AND CONCLUSION

5.0 Introduction

From the results in Chapter four of this Research. It is evident that Zambart was very consistent in conducting performance appraisals and key performance indicators used to evaluate staff on annual basis are agreed by both supervisor and staff. Otherwise, the appraisal system used is more effectively in compensating management than in training. Results from the key informant interviews revealed that the main essence of conducting performance appraisal was not to improve performance, focusing on set goals at the end of each year but for purposes of compensation management and ensuring that individual targets are attained.

Nonetheless, according to Zambart management, training and mentoring of staff is done in different departments by supervisors, but that however, these trainings are not linked to the weaknesses of staff identified during staff appraisal. The study therefore, revealed that supervisor and staff did agree on challenges that needed to be enhanced through training. As shown by managers at Zambart, research has shown elsewhere that usually, senior management tend to avoid a performance appraisal based training needs analysis considering it a cost (Morano, 1973), whereas in reality failure to conduct a performance appraisal based training needs analysis can lead to costly mistakes (Cekada, 2010) such as a total waste of training budget (Papalexandris and Panayotopoulou, 2004; Denby, 2010) and other valuable resources (Tao et al., 2006). Other researcherø contrary to this study have shown that expenditure on performance appraisal based training needs analysis leads to cost effective training (Swierczek and Carmichael, 1985). Sims et al., (1989) communicate that if an organisation conducts training without an accurate performance appraisal based training needs analysis, this would lead to incurring heavy costs in the form of retraining and this could be happening at Zambart. In the same way, a performance appraisal based training needs analysis saves time and money along with providing high quality training (Snyder, 2004). Even it reduces the cost of human efforts as it helps avoid duplication of efforts to be put by all concerned human resource (Schneier et al., 1988). Abdalla and Al Homoud (1995) are of the view that a performance appraisal based training needs analysis determines the gap between the current and desired performance and it is impossible for the organisation to improve

competence without a performance appraisal based training needs analysis (Thomas et al., 1994; Swanson et al., 1975).

The fact that Zambart has an unwritten policy that prevents the system from making it possible for staff to be trained following a performance appraisal, less consideration for employee value and no money to execute particular tasks to train employees among others is critical. Therefore, beyond understanding the needs of Zambart's business, HR professionals can increase their strategic value, and therefore the value of HRM practices, by improving their competencies in three primary areas: organizational design, managing change, and measuring performance that is lined to human resource development (Lawler et al., 2004; Boudreau & Ramstad, 2005; Cascio, 2005; Kates, 2006). HR professionals can assist the organisation in developing the right kinds of organizational training architecture and culture to create opportunities for training. Of course, this includes designing and aligning HRM practices with one another and with strategic goals. As noted earlier, it is not enough to have the "right" HRM performance appraisal practices and systems in place; they must also be implemented effectively by managers and employees. Finally, the value of the HR function, HR professionals, and HRM practices will ultimately be validated only through their impacts on employee performance. As noted above, Zambart would benefit by employing methods and metrics to assess performance that speak to training as well.

Given that performance appraisals are done at Zambart, one would have expected the existence of a training plan accompanied with objectives, and for assigned time targets. The training plan could be agreed between section heads and management in the sense of being understood and accepted by all the key individuals who are responsible for putting it into effect. The literature recommends that an organisation should review its training plan at least once a year for which it should have detailed set of procedures for conducting a continuous performance appraisal based training needs analysis. The process of assessing training needs starts with identifying problem area in practice, knowledge, or attitudes for the organisation and then assigning short term priorities to them (Miros and Dale, 1996; Greig, 1997; Cekada, 2010). However, the literature also maintains that training plans help assess future training needs (Peters, 1994; Brown, 2002). For Zambart, this leads to the following proposition:

Following an appraisal, managers could identify training needs that should be used for preparation of training plans. However, these training plans should also provide information on areas to be considered for the future performance appraisal based training needs analysis.

Based on the results, this takes us to goal setting. Goal setting and a performance appraisal based training needs analysis are not interdependent. The relationship between them enriches training environment as well as organisational climate (Leat and Lovell, 1997), because a performance appraisal based training needs analysis is viewed as a systematic process of determining and then prioritising training and development as well as organisational goals (Morano, 1973; Brown, 2002; Denby, 2010). Effective human resource development interventions contribute to achieve organisational goals if it is based on true performance appraisal based training needs analysis (Desimone et al., 2002; Bowman and Wilson, 2008), which according to Mathews et al. (2001) can be performed if goal setting is considered as its one of the most important parts. This fact is also supported by Dolliver (1993) who emphasises that a performance appraisal based training needs analysis gives a road map to reach the organisational goals. A performance appraisal based training needs analysis in Zambart could be used for employee development as, on the one hand, it is exercised when personal development of employees is sought (Virmani, 2000), especially to motivate them for being honest and open with the organisation (Uhlmann, 1973). On the other hand, for professional development of employees, performance appraisal based training needs analysis is undertaken at the person level, focusing on how well particular individuals carry out the activities comprising their task roles (Leat and Lovell, 1997). Identifying training interventions addresses performance variances and promotes employee development (Training Magazine, 2005: 30). Therefore, the following proposition is offered to Zambart:

Following an appraisal, section heads, and supervisors should be providing information on training and non training needs that should be used for employees' professional and personal development respectively. The researcher is arguing in favour of this because a set of knowledge, skills, and attitude is required in a set of underperforming employees (see, e.g. Kirkpatrick, 1977; Brown, 2002; Bowman and Wilson, 2008; Cekada, 2010). Improvement of the employee's knowledge, skills, and attitude are not only fruitful for

the organisation but for the development of the employee's career as well. The role of a performance appraisal based training needs analysis in Zambia is imperative because decisions relating to knowledge, skills, and attitude can be made through it as it identifies the gap between what is happening in the organisation and what must happen in terms of employees' behaviours according to their knowledge, skills, and attitude. Training and development needs exist when an employee feels knowledge, skills, and attitude related deficiencies while performing an assigned task satisfactorily. The objective of a performance appraisal based training needs analysis is to collect and evaluate information in order to determine what is currently being done and what should be done in future (Agnaiya, 1996). Based on this, the third proposition would look like this:

P3. Following an appraisal, Zambia identifies training needs that should be used for improving the trainees' level of knowledge, skills, and attitude. However, the deficiencies in their knowledge, skills, and attitude should also be used as an input for the future a performance appraisal based training needs analysis.

5.1 Study implications

There are a number of study implications arising from this study and the following ought to be noted;

5.1.1 For Human resource (HR) practitioners in Zambia

The implications of this study for HR practitioners are considerable. First, it is essential that HR professionals in Zambia are not only conversant with business strategy of the NGO, but are integral partners in the strategic management process of human resource. Several recent studies have documented the fact that, while the HR function has become more strategic in its orientation, it is not yet a full strategic partner in many firms (Lawler & Boudreau, 2009; The McKinsey Quarterly, 2006; Weis & Finn, 2005). Accurate and effective line of sight will not occur in Zambia without an ongoing dialog among all those responsible for strategy formulation, implementation, and evaluation, including HR professionals.

5.1.2 Theoretical implications

As far as theoretical developments are concerned, this study attempted to make a significant contribution towards understanding the growing concept of a performance appraisal based training needs analysis by expanding the long established way of looking at it through increasing its potential effects and subsequently enhancing the purposes and uses of appraisals for training and not only for compensation management. Valuing uses of a performance appraisal based training needs analysis not only contributes to training but also helps bundle a performance appraisal based training needs analysis with other human resource activities namely; training plans, goal setting, employee development, managing change, career development, knowledge, skills, and attitude, learning motivation, cost effective training, and performance appraisal. The researcher hopes that the research model in form of the three propositions proposed in this section will contribute for further development of an integrated framework of utilisation criteria for effectiveness of a performance appraisal based training needs analysis.

CHAPTER SIX- CONCLUSIONS AND RECOMMENDATIONS

6.0 Recommendations

Based on the research findings and conclusions of this study, the following are some practical implications to consider if Zambart has to bridge appraisal with training and these practical considerations are based on the constraint theory's 5 steps assumptions (5FS). The working process of implementing TOC concepts called Process of On-Going Improvement. The steps according to TOC practitioners (see Goldratt and Cox, 1984; 1992; Goldratt and Cox, 1992; Dettmer, 1997); require (i) identifying the system's constraint (this study has done so), (ii) decide how to exploit the system's constraint (this could be done following this study), (iii) subordinate everything else to the above decision (these could be done in a management meeting), (iv) elevate the system's constraint decision (these could be done in a management meeting) and (v) if in any of the previous steps a constraint is broken, there would be no problem going back to step 1. As it can be seen from the results, when addressing Zambart's bottlenecks there is need to focus on the following:

- 1) Zambart should have a written policy that will foster the system making it possible for staff to be trained.
- 2) Zambart should consider rewarding employees with scholarships.
- 3) Zambart should have a budget for training following an appraisal.

6.1 Conclusion

The main purpose then of this study was to test the theory of constraints if it would hold to explain Zambart's non linkage of the performance appraisal system and individualised human resource development. The present study has shown that performance appraisals are done at Zambart and there is a disconnect with human resource development. From the theoretical assumptions, there are three notable constraints and these are an unwritten policy that prevents the system from making it possible for staff to be trained, the perception that there is no reward to an organisation in training employees and lack of money to execute particular tasks to train employees. Therefore, the present study is proposing the application of the theory of constraints in attempting to address the disconnect. Overall, the study's recommendations and propositions help increase the need for objectivity and efficiency in human resources management practices that could help performance management.

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Appendix I: Survey Questionnaire

Demographics

Age

Sex - Male

Female

Years of work ..

Staff category

Grading of performance appraisal score in the last year

- a) High
- b) Medium
- c) Low

Type of training

- a) Away from the job
- b) On the job

ZAMBART is said to have implemented a staff performance appraisal. Which statements below do you agree with? Indicators follows 1 for strongly disagree, 2 for agree, 3 for somewhat agree, 4 for disagree and 5 for strongly agree.

Every year ZAMBART has been measuring how I have been performing yearly

During the appraisal meeting, my supervisor and I agreed on the challenges I faced in the period under review

During the appraisal meeting, my supervisor and I agreed on particular challenges that needed enhancement by way of training

Following performance appraisal I was earmarked for on the job training

Following performance appraisal I was earmarked for away from the job training

Every year ZAMBART has been measuring how I have been performing

Number of persons reached to be trained in the department in the last year

An unwritten policy prevents the system from making it possible for staff to be trained

No value to an organisation in training employees

No reward to an organisation in training employees

No money to execute particular tasks to train employees

Appendix II: Key Infomart interview Schedules

Please tell me what you do in your department when staff have been appraised and found to be wanting in knowledge and skill?

Please tell me about the institution's training needs and linkage with appraisal in your department?

In the last two years tell me about on job training and away from job training regarding staff who had low performance?

(If not implemented ask why and probe more).

Ask for the following:

- a) Existence of an unwritten policy prevents the system from making it possible for staff to be trained
- b) Value to an organisation in training employees
- c) Reward to an organisation in training employees
- d) Lack of money to execute particular tasks to train employees
- e) Ask how many have been trained following Staff Performance Appraisal

Appendix III: Application for Ethical Approval for Proposed Research
Involving Human Participant



THE UNIVERSITY OF ZAMBIA
DIRECTORATE OF RESEARCH AND GRADUATE STUDIES
HUMANITIES AND SOCIAL SCIENCES RESEARCH ETHICS COMMITTEE

Telephone: +260-211-290258/293937
Fax: +260-211-290258/293937
Zambia
E-mail drgs@unza.zm

P O Box 32379
Lusaka,

Approval of Study

22nd July 2018

Ref. No. 007 - 2018- June

The Principal Investigator

Dear, Sir

RE: "Performance appraisal and individualized skills development: A case study of Zambart Project"

Reference is made to your request for ethical approval of the study. The University Of Zambia Humanities and Social Sciences Research Ethics Committee IRB has approved the study noting that there are no ethical concerns.

Conditions of Approval

- Provide information sheets and consent letters as these were not attached. The information sheets should have had the essential features included. Please use the WHO templates which you could download at www.who.int/rpc/research_ethics/informed_consent/en/). REC would appreciate if the PI could customise the WHO templates and include the domains of what the submitted protocol is positing on tools and the

sampling units (people who have been or shall be participating in this study).

- No participant may be involved in any study procedure prior to the study approval or after the expiration date.
- All unanticipated or Serious Adverse Events (SAEs) must be reported to the IRB within 5 days.
- All protocol modifications must be IRB approved by an application for an amendment prior to implementation unless they are intended to reduce risk (but must still be reported for approval). Modifications will include any change of investigator/s or site address or methodology and methods. Many modifications entail minimal risk adjustments to a protocol and/or consent form and can be made on an Expedited basis (via the IRB Chair). Some examples are: format changes, correcting spelling errors, adding key personnel, minor changes to questionnaires, recruiting and changes, and so forth. Other, more substantive changes, especially those that may alter the risk-benefit ratio, may require Full Board review and approval. In all cases, except where noted above regarding subject safety, any changes to any protocol document or procedure must first be approved by the IRB before they can be implemented.
- All protocol deviations must be reported to the IRB within 5 working days.
- All recruitment materials must be approved by the IRB prior to being used.
- Principal investigators are responsible for initiating Continuing Review proceedings. Documents must be received by the IRB at least 30 days before the expiry date. This is for the purpose of facilitating the review process. Any documents received less than 30 days before expiry will be labelled "late submissions" and will incur a penalty.
- Every 6 (six) months a progress report form supplied by The University of Zambia Humanities And Social Sciences Research Ethics Committee IRB must be filled in and submitted to us. There is a penalty of K500.00 for failure to submit the report.
- The University Of Zambia Humanities And Social Sciences Research Ethics Committee IRB does not "stamp" approval letters, consent forms or study documents unless requested for in writing. This is because the approval letter clearly indicates the documents approved by the IRB as well as other elements and conditions of approval.

Should you have any questions regarding anything indicated in this letter, please do not hesitate to get in touch with us at the above indicated address.

On behalf of The University of Zambia Humanities and Social Sciences Research Ethics Committee IRB, we would like to wish you all the success as you carry out your study.

Yours faithfully,



Dr. Jason Mwanza

BA, MSoc, Sc., PhD

CHAIRPERSON

The University Of Zambia Humanities and Social Sciences Research Ethics
Committee IRB



HSSREC FORM 1

THE UNIVERSITY OF ZAMBIA
DIRECTORATE OF RESEARCH AND GRADUATE STUDIES

HUMANITIES AND SOCIAL SCIENCES RESEARCH ETHICS COMMITTEE (HSSREC)

Telephone: +260-211-290258/293937

P O Box 32379

Fax: +260-211-290258/293937

Lusaka, Zambia

E-mail drgs@unza.zm

Your Ref:

Our Ref:

Informed Consent Form for all Zambart staff who are going to participate in Performance appraisal and individualised skills development.

[Name of Principle Investigator-Williams Dziko Phiri]

[Name of Organization-Zambart]

[Name of Sponsor-Self]

[Name of Project and Version-Performance Appraisal and Individualised Skills Development: A case study of Zambart]

This Informed Consent Form has two parts:

ÉInformation Sheet (to share information about the study with you)

ÉCertificate of Consent (for signatures if you choose to participate)

You will be given a copy of the full Informed Consent Form

Part I: Information Sheet

Introduction

I am Williams Dziko Phiri, working for the Zambart organization. I am doing a research on Performance Appraisal and Individualised Skills Development trying to investigate whether upon finding deficiencies in employees' knowledge and skills whether the organization Zambart has a policy in place to send employees found wanting for training both on the job and away from the training. I am going to give you information and invite you to be part of this research. You do not have to decide today whether or not you will participate in the research. Before you decide, you can talk to anyone you feel comfortable with about the research.

This consent form may contain words that you do not understand. Please ask me to stop as we go through the information and I will take time to explain. If you have questions later, you can ask them of me or of another researcher.)

Lack of necessary skills and knowledge on the job make jobholders fail to perform to the satisfactory of the organization. We want to find ways to stop this from happening. We believe that you can help us by telling us what you know both about performance appraisal and its importance to the organization in general. We want to learn what people who work at Zambart know about the causes of unsatisfactory work performance and what the organization does in order to enlist inspired performance from its workforce. We want to learn about the measures which the organization has put in place in order to eradicate below par performance amongst its staff in an instance that employees lack knowledge and skills necessary for them to perform their duties to their own and organizational satisfaction..

This research will involve your participation through answering survey questionnaires that will take about half an hour and a one hour interview).

You are being invited to take part in this research because we feel that your experience as a Human Resource Manager can contribute much to our understanding and knowledge of how deficiencies in knowledge and skills are dealt with in Zambart in order to bridge the skills gap.)

Your participation in this research is entirely voluntary. It is your choice whether to participate or not. If you choose not to participate all the services you receive at this Centre will continue and nothing will change.

Procedures

We are asking you to help us learn more about performance appraisal and individualised skills development. We are inviting you to take part in this research project. If you accept, you will be asked to participate in a short survey and answer a questionnaire. Later on if possible you may be asked to participate in a short interview.

You will be asked to participate in an interview with me. During the interview, I or another interviewer will sit down with you in a comfortable place at the Centre. If it is better for you, the interview can take place in your home or a friend's home. If you do not wish to answer any of the questions during the interview, you may say so and the interviewer will move on to the next question. No one else but the interviewer will be present unless you would like someone else to be there. The information recorded is confidential, and no one else except Williams Dziko Phiri and my supervisor will access to the information documented during your interview. The entire interview will be tape-recorded, but no-one will be identified by name on the tape. The tape will be kept in the lockable place. The information recorded is confidential, and no one else except my supervisor and I will have access to the tapes. The tapes will be destroyed after _six months which time I would have finished my study.

Duration

The research takes place once in the months of June/July, 2018. During that time, I will visit you once for interviewing you at one month interval and each interview will last for about one hour.

The interview will take place at a place you will find comfortable and convenient. It may be at your place of work or your home or an eating place. If you agree to take part, you need to know that you can stop participating any time. You may not respond to the questions that you do not wish to respond to. It is ok. Do you have any more questions?

The interview may be touch on sensitive and personal issues like when you began working with Zambart. As I ask you to share some very personal and confidential information, and you may feel uncomfortable talking about some of the topics. You do not have to answer any question or take part in the discussion/interview/survey if you don't wish to do so, and that is also fine. You do not have to give me any reason for not responding to any question, or for refusing to take part in the interview.

There will be no direct benefit to you, but your participation is likely to help us find out more about how the organization deals with deficiencies in knowledge and skills. However, there will be benefits for all employees as it is expected that the results could be used to improve staff skills and knowledge through training. .

Reimbursements

You will not be provided any incentive to take part in the research. However, I will give you travel expense in form of bus fare if you are subjected to travelling (if applicable).

Confidentiality

The research being done in the community may draw attention and if you participate you may be asked questions by other people in the community. We will not be sharing information about you to anyone outside of the research team. The information that we collect from this research project will be kept private. Any information about you will have a number on it instead of your name. Only the researchers will know what your number is and we will lock that information up with a lock and key. It will not be shared with or given to anyone except my supervisor.

Sharing the Results

Nothing that you tell us today will be shared with anybody outside the research team, and nothing will be attributed to you by name. The knowledge that we get from this research will be shared with you and your community before it is made widely available to the public. Each participant will receive a summary of the results. There will also be small meetings in the community and these will be announced. Following the meetings, we will publish the results so that other interested people may learn from the research.)

Right to Refuse or Withdraw

You do not have to take part in this research if you do not wish to do so, and choosing to participate will not affect your job or job-related evaluations in any way. You may stop participating in the [discussion/interview] at any time that you wish without your job being affected. I will give you an opportunity at the end of the interview/discussion to review your remarks, and you can ask to modify or remove portions of those, if you do not agree with my notes or if I did not understand you correctly.)

Who to Contact

If you have any questions, you can ask them now or later. If you wish to ask questions later, you may contact any of the following:**Dr. Jason Mwanza**Chairperson, Humanities and Social Sciences, Research Ethics Committee, University of ZambiaSchool of Humanities and Social SciencesP.O Box 32379LUSAKAMobile Number: [0977-945790](tel:0977-945790)/[Email-jason.mwanza@unza.zm](mailto:jason.mwanza@unza.zm)

This proposal has been reviewed and approved by [Humanities and Social Sciences Research Ethics Committee], which is a committee whose task it is to make sure that research participants are protected from harm. If you wish to find about more about the HSSREC, contact:

Dr. Jason MwanzaChairperson, Humanities and Social Sciences, Research Ethics Committee, University of ZambiaSchool of Humanities and Social SciencesP.O Box 32379LUSAKAMobile Number: [0977-945790](tel:0977-945790)/[Email-jason.mwanza@unza.zm](mailto:jason.mwanza@unza.zm)

Dr. Henry M. Sichingabula

Director, Directorate of Research and Graduate Studies

University of Zambia

P O Box 32379 LUSAKA drgs@unza.zm

You can ask me any more questions about any part of the research study, if you wish to. Do you have any questions?

Part II: Certificate of Consent

I have been invited to participate in research about performance appraisal and individualised skills development: A case study of Zambart.

(This section is mandatory)

I have read the foregoing information, or it has been read to me. I have had the opportunity to ask questions about it and any questions I have been asked have been answered to my satisfaction. I consent voluntarily to be a participant in this study

Print Name of Participant _____

Signature of Participant _____

Date _____

Day/month/year

***If illiterate*¹**

I have witnessed the accurate reading of the consent form to the potential participant, and the individual has had the opportunity to ask questions. I confirm that the individual has given consent freely.

Print name of witness _____

Thumb print of participant

Signature of witness _____

Date _____

Day/month/year

Statement by the researcher/person taking consent

I have accurately read out the information sheet to the potential participant, and to the best of my ability made sure that the participant understands

I confirm that the participant was given an opportunity to ask questions about the study, and all the questions asked by the participant have been answered correctly and to the best of my ability. I confirm that the individual has not been coerced into giving consent, and the consent has been given freely and voluntarily.

A copy of this ICF has been provided to the participant.

Print Name of Researcher/person taking the consent _____

Signature of Researcher /person taking the consent _____

Date _____

Day/month/year

¹ A literate witness must sign (if possible, this person should be selected by the participant and should have no connection to the research team). Participants who are illiterate should include their thumb print as well.