

DECLARATION

**INVOLVEMENT OF UNIONIZED EMPLOYEES IN THE APPLICATION
OF PERFORMANCE MANAGEMENT PROGRAMME:
A CASE STUDY OF
BARCLAYS BANK OF KENYA LIMITED**

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A management research project submitted in partial fulfilment of the requirement of the
Masters degree in Business Administration (MBA), Faculty of Commerce, University of
Nairobi.

IN LOVING MEMORY
DECLARATION
Department of Business Administration, University of Nairobi
1959-1989

This is my own original work and has never been submitted for a degree in any other University.

Signed: M. Atandi Date 5/11/03

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This project has been submitted for examination with my approval as a University Supervisor

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IN LOVING MEMORY

Benjamin Washington Mwakota Mwang'ombe
1939-1989

DEDICATION

This paper is dedicated to my husband, Samuel Nyakundi Atandi whose support, prayers and encouragement turned this dream into reality.

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ABSTRACT

The banking industry continues to face challenges both locally and globally. These challenges are eroding their bottom line and the top line is also getting thinner by each advancing year. This has made top management to look for management practices that could help them receive maximum returns from the work force. One such practise is performance management.

Performance management is based on the principles of management by agreement or contract rather than management by command. It emphasizes development and the initiation of self – managed learning plans as well as the integration of individuals and corporate objectives thus improving overall organisational effectiveness. Implementation of the Performance Management Programme in Barclays Bank to unionised employees has been rejected. Therefore, there is need to study the involvement of the unionised employees in the implementation process.

The case study was done in Barclays bank Kenya Ltd. And the sample covered 50 unionised employees and 5 management staff. A questionnaire with structured questions was used and the data was collected for the study. The data was then analysed and presented using descriptive statistics. 100% response rate was achieved.

The findings revealed that the majority of the unionised employees have both good knowledge and awareness of the theory and working of performance management, and the Barclays standard behaviours. The research findings also indicated that although a sizeable number of the employees appreciate the performance review and assessment process a significant proportion could not see the role and place of the Barclays Behaviours in Performance measurement.

Majority of the unionised employees were not involved in the initial discussions that led to the implementation of the Performance Management Programme. They also felt that management did little to encourage their participation and that the programme was hastily implemented.

Most of the unionised employees felt that strong attempts were made to communicate the Performance Management message through training workshops, regular team meetings and

through written communication such as booklets, and circulars. However, they felt that implementation was rushed before the concept was well understood and buy-in achieved. They also opined that the programme was not concordant with local conditions.

The results from the study also revealed that implementation of the Performance Management Programme has been affected by perceived poor management practices. There is also discontent regarding setting of objectives, measurement of achievement, and rewarding of achievement.

The unionised employees feel that management is irresponsible and does not often include them in the performance management cycle/process. They also feel that the management, who do not seem to have strategies to correct any deviations from set standards, offers little feedback and coaching.

In conclusion, a thorough audit of the programme needs to be undertaken and unionised employees sought and collated. It will be useful to look at the performance contracts/SMART objectives in place and the latest performance reviews analysed to ensure consistent application of standards and objectivity in assessments. The Line Managers, Supervisors, and Union leaders need to be retrained. The leaders should then be empowered to coach or train the unionised employees through both formal and informal workgroups.

Lastly, management should endeavour to cultivate trust through clear objective setting and fair performance reviews and assessments. There also needs to be very objective linkages between achievement and rewards. Where possible the management need to show that there is a direct link between the individual performances to organisational performance

CHAPTER 1: INTRODUCTION

1.1 Background

All the banking institutions and building societies completed publishing their year 2002 audited accounts as required by the Banking Act. The results were agreed after tripartite meetings between the Central Bank of Kenya, the banking institutions and their external auditors. The final performance results of the sector as at 31st December 2002 reflect a pre-tax profits of Kshs. 6.8 billion, a decline of about 5.6 % from Kshs. 7.2 billion reported over the same period in 2001 (Kenya Economic Review, May 2003)

The banking Industry continues to face unrelenting challenges both locally and globally. These challenges emanate from economies that are under-performing, high delinquency rates and shrinking markets for their products, rapid pace of technological advancement, increasing competition, sophisticated customers who are demanding higher levels of service and quality products, declining interest margins coupled with heavy operating costs, shareholders demanding greater returns on investments and wanting more efficiency, employees increasingly demanding better leadership, greater autonomy, and more personal development opportunities. (The Barclays Globe June, 2003)

Barclays, like all other banks, operates internationally in highly competitive and dynamic markets, and has had to reorganize its strategy in order to maintain its profitability and growth paths. The current strategy places strong emphasis on human capital in pursuit of its business objectives.

The bank recognizes the need for capable and dedicated people, equipped with practical business tools, who can creatively overcome any country specific resource, people, or business operating challenges, in pursuit of its strategic business goals.

To gain and sustain a competitive advantage within their chosen markets, the bank has recognized that it is imperative for it to become more responsive to changing customer needs and more effective and efficient use of human and other resources.

Some of the more recent developments in Barclays bank's human resources practices include:

1. Introduction of the Management Association for its managers. This is one first association of its kind in the Kenyan banking industry
2. Partnership agreement amongst the management association, the longstanding trade union representing non-management staff, and the bank
3. A massive redundancy exercise.
4. A flatter and learner structure.
5. Performance Management, which was initially introduced among the management levels, and has been cascaded down to the unionised staff.

1.2 Features of Performance Management

Performance management provides a framework for meeting business needs. It involves conducting planned management that seeks to address historically difficult factors, such as behaviour, which have a significant impact upon the individual, team and business performance. It involves conducting review, preview and coaching sessions which enable discussion of individual and team performance issues, giving regular feedback on specific performance measures, setting and reviewing SMART objectives and measures, setting and reviewing behavioural objectives and assessing performance at year-end against agreed objectives.

(Fletcher, 1993)

Performance management is not just a process for assessing staff; it is also a set of skills and behaviours for managing people more effectively. It is a serious business tool that enables the organization to achieve its strategic and business objectives (Walters, 1995).

In Barclays, Performance management is meant to shift the way managers see their role from being one of 'Managing people' to one of 'Developing the performance of people' (Learning & Development, Barclays PLC, 2001). The distinction between these two approaches is presented in table 1.

Table 1: Performance Management versus People Management

From: People Management	To: Performance Management
Infrequent discussions on performance that centre on Task achievements	Continuous process of Reviewing and Previewing all aspects of performance
Sending people on courses just because they are available	Encouraging and monitoring the use of targeted personal development plans
Having generic objectives and measures with loose association to business aims	Direct link between Business Goals and SMART objectives and measures
Superficial comments based on a someone's 'personality' or 'attitude' performance in role	Specific behavioural Feedback based on their actual performance
One off annual appraisal, usually based on someone's effort in the last Quarter.	Regular performance Reviews and an objective Performance Assessment.

Source: Performance Management, Learning & Development, Barclays PLC, 2001

1.3 Objectives of performance management

Objectives of performance management include clarity, coaching, and feedback, providing development opportunities, performance reviews, assessments, recognition and reward.

Giving clarity involves explaining what the business goals, values, and vision are, and how all contribute to these through own behaviour, team and individual objectives. Agreeing upfront what the measures of success will be, and against which people can monitor their own performance against objectives. Describing the behaviour that all need to demonstrate when

working together as business performance is directly linked to individual and team behaviour (Walters, 1995).

Coaching and feedback involves conducting regular coaching reviews (what we have done) and previews (what we will do), in order to plan future performance improvements. Giving regular developmental feedback to individuals and teams, supported with evidence, of their 'actual' performance (Ilgen and Pulakos, 1999).

Providing development opportunities involves encouraging people to take ownership for their personal development, and their own performance improvement and ensuring people create 'meaningful' personal development plans, and then supporting them by providing opportunities to make them achievable (Harrison, 2000).

Performance reviews, assessment, recognition and reward involves conducting regular quarterly reviews to establish whether or not people are on track to achieve their previously agreed objectives. Having a clear agreement on the measures that will be used to assess performance against both 'Task' and 'Behavioural' objectives. Recognising and rewarding exceptional performance for those who deserve it, and providing feedback and action plan to improve, for those who do not (Armstrong and Murlis, 1998).

1.4 Traditional approach to managing people

Traditional approach to managing people has the following shortcomings:

- i. Traditional approach has no direct link between performance and reward. The dictates of the collective bargaining agreement (CBA) reigned supreme and annual adjustments/increments were pegged to pre-agreed salary scales within the CBA. Bonus payments were paid as a flat percentage.
- ii. Subjectivity- favourites of the manager/team leader were rewarded and the dissenters punished regardless of their levels of performance.
- iii. The emphasis was on historical performance with little or no thought given to future performance measures and objectives; and gave no place to SMART objectives. Where

objectives were set, there was no direct link between the Business and personal objectives.

- iv. Aspects of personal development were lacking.
- v. Emphasis was on task performance as opposed to both functional tasks and individual behaviours.
- vi. Inertia and complacency. Since it is done once a year and focused on past performance of given tasks it fails to drive performance. It failed to recognise yesterday's performance is tomorrow's minimum performance level.

1.5 Statement of the Problem

As explained in the background and the literature review, performance management is concerned with satisfying the needs and expectations of stockholders, management, employees, customers, suppliers, and the general public. In particular, employees are treated as partners whose interests are respected and whose opinions are sought and listened to. Performance management recognizes that needs of the stakeholders will not always coincide and each party must thus be accorded due respect (Armstrong, 1999). Performance management requires continuous communication and involvement of those concerned particularly employees. As explained in the background the trade union representing Barclays Bank's employees rejected the implementation of performance management arguing that it was going to be used against its members. This raises a concern as to whether principles or conditions necessary for the implementation of performance management that are outlined in the background, particularly employee involvement, were taken into account by the bank management when introducing the system. Therefore, this study is motivated by the following question: To what extent did Barclays bank involve its employees and their representatives in the decision that culminated in the implementation of performance management?

1.6 Objectives of the study

To establish the extent to which Barclays Bank Management involved its unionised staff in the performance management implementation process.

1.7 Importance of the study

The study will be useful to the Barclays Bank management in pinpointing areas in the performance management system that need adjustment or change. This study will also be useful to other banks and non-bank organisations that may want to introduce a similar system.

CHAPTER 2: LITERATURE REVIEW

2.1. Introduction

Performance management provides a framework for managing both the performance and the development of an individual, with the overall aim of improving bottom-line business results. It is a means in which an organization can enhance its performance and therefore achieve higher rewards.

Anderson and Evendon (1993) observes that people are involved in making an effective strategic decision, or in making a sale. It is people who are at the centre of every quality suggestion and decision making mechanism. This can be summarised as that people perform and how they perform is a critical factor in organizational effectiveness.

Performance management is concerned with “harnessing” the abilities and creativity of each employee. It involves having in place systems and methods, which translate the goals of strategic management into individual performance terms. While few of the elements of performance management are “new” to organizations, it is the way in which they are placed in an interlocking whole which is claimed to make the difference (Storey and Sisson, 1993).

Matt Barrett (Barclays Group Chief Executive) states that performance management is more than a new process and paperwork. It's about each member of the Barclays team changing his or her approach and attitudes to make sure that real change is achieved. According to Lockett (1994), the business environment is turbulent and organizations have the challenge to ensure that the performance objectives and levels are not only being achieved but also that they remain relevant and consistent with overall strategic objectives. Lockett observes that management should view their task of managing performance; not only as a daily function, but also to be able to sustain it in whatever business environment predominates. Lockett views effective performance management as the only mechanism for the effective management of change. He expounds this to mean clarifying what the organization needs to do, translating that into clear goals and reviewing those goals regularly.

The objectives of performance management are to elicit and increase two – way communication between supervisor and employee, clarify mission, goals, responsibilities, expectations and work assignment, recognize quality performance and identify performance issues, develop staff member's skills for current position as well as for future assignments or positions (Armstrong, 1994).

The key concept of performance management is that it should be viewed as a process and not an event. It requires employees' involvement and provides for their development. Performance management is primarily a communication tool for clearer understanding. It is the establishment and communication of performance standards for each critical duty (Walters, 1995).

As mentioned earlier, performance management is an ongoing process between supervisor and employee. The supervisor has to accept the responsibility of being a dynamic supervisor. This involves providing continuous coaching and feedback, establishing and communicating job responsibilities, performance standards, priorities and expectations to the employees. He/ she has to constantly monitor and documents staff members' performance and ensure that they're no barriers to good performance. He/she has to help the organization identify skills and abilities of staff members for improved performance. On the other hand the employee has to participate in identifying and defining job responsibilities and performance standards. He/she has to provide and review feedback in a constructive manner. The employee has to also accept the responsibility for his personal growth by assessing his strengths and area for improvement (Armstrong, 1994).

2.2. The contribution of motivation theories

One of the most important aspects of performance management is the motivation of staff. Armstrong (1999) defines motivation as the reason for doing something, the ability to influence people to behave in certain ways. Among the motivation theories, which have contributed to performance management, are Goal setting, Equity theory and Expectancy theory.

2.2.1 Goal setting theory

According to Armstrong (1999), this approach to motivation was pioneered in the USA by Latham and Locke. It states that motivation and performance are higher when individuals are set for specific goals rather than vague and general, when goals are difficult but accepted, and when there is feedback on performance. In performance management, when setting challenging objectives and drawing up performance agreements, management operates within the mechanism of this theory.

2.2.2 Equity theory

J. Stacey Adams postulated this approach. He suggests that this theory is concerned with the perceptions people have about how they are being treated as compared with others. To be dealt with equitably is to be treated fairly in comparison with another group of people (a reference group) or a relevant other person. If the employee perceives inequity he/she will act to correct the inequity by lowering productivity, reduced quality, increased absenteeism, voluntary resignations etc. (Adams, 1965).

In performance management when conducting performance reviews, the measurement of performance has to be fair and well understood in order to motivate staff.

2.2.3 Expectancy theory

Originally proposed by Vroom, this theory aims to explain how people choose which of several courses of action they will pursue. Expectancy theory suggests that individuals will be motivated to perform if they perceive that they possess the necessary skills (expectancy), they perceive that if they perform well they will be rewarded (instrumentality), they perceive that the rewards are attractive (valence) Vroom (1994). In performance management, this is useful in that it links motivation and objectives as well as performance and rewards.

2.3. The Performance Management Process

Performance management and development has been defined as a continuous management process. Lockett (1992) describes the performance management cycle as involving seven stages: establishing the performance contract, clarifying performance requirements, agreeing on support requirements, reviewing performance, and taking actions related to meeting, exceeding or failing to meet the performance contract.

In the context of employee development, the key elements of this process are those to do with: setting targets and establishing desired performance levels, appraising and improving performance, ensuring continuous learning and development, and giving recognition and reward (Harrison, 2000)

The Barclays Performance management cycle has four key stages, which are managed throughout the year. In summary, at the beginning of the year i.e. in the 1st quarter, objectives, measures and personal development plans are agreed. Once business and behavioural objectives have been agreed upon, training needs and skill gaps are easily identified. Barclays objectives are broken down into two categories the 'What' and 'How'. 'The Whats' are the business objectives and 'the hows' are the behavioural objectives (Barclay Learning & development, 2001).

Matt Barret, the Group Chief Executive of Barclays states that he wants a 'clear line of sight between individual objectives, and the strategic goals of Barclays, so that everyone is clear on what they have to achieve, and why (Barclays Globe, 2003).

During the year they're three quarterly performance reviews and previews. Reviews capture how people are doing against each of their objectives, and previews capture what actions they intend to take during the next quarter. At the end of the year a performance assessment is conducted, based on the business and behavioural objectives. These two are pulled together to form a grid and a performance indicator is derived. Barclays behavioural objectives are based on a group of behaviours, which capture the essence of how Barclay's people are expected to behave. This is based on a shared common set of standards for behaving that is valued by the bank when it comes to assessment, development and reward, (Barclays L&D, 2001).

Putting a performance management process into practise will involve: - action planning, regular reviews, and continuous feedback and coaching.

Every organization seeking to introduce performance management must develop a version to suit its needs. However it is useful as a starting point to have a conceptual framework.

Armstrong (1999) describes performance management as a continuous self-renewing cycle whose main activities are: role definition, performance agreement or contract, personal development plan, managing performance throughout the year and performance review.

2.4. Role definition

Vast amount of efforts have gone into defining peoples' jobs. Millions of hours have been spent clarifying tasks and responsibilities, detailing resources required, reporting relationships and so on in the attempt to draw a picture of a complete job. Various job analysis systems have been devised to help us, and their existence is testimony to the difficulty of adequately defining a role of job to everyone's satisfaction, such that performance in the job can readily be measured. Therefore role definition sets out the framework for performance management (Walters, 1995).

2.5. Performance agreements

Performance agreements cover objectives and standards of performance, performance measures and indicators, competency assessment, core value and/or operational requirements.

An objective describes something which has to be accomplished – a point to be aimed at. Objectives or goals define what organizations, functions, departments, teams and individuals are expected to achieve (Armstrong, 1994). In order to perform the job successfully, employees need to know what they need to do. A good objective can be defined as SMART i.e. specific and stretching, measurable, achievable and agreed, realistic and relevant and time bounded.

Matt Barrett, the Group chief executive of Barclays believes that in order to achieve challenging business goals, the Barclay's team needs to set for themselves two types of objectives i.e. business objectives and behaviour objectives. In the past, Barclays as a bank, has been good at focusing on the business objectives i.e. what they have to do but what they have not always been good at is setting behavioural objectives (Barclays Globe, 2003).

Performance standards can be defined as a statement of the conditions that exist when a job is being performed effectively.

Measurement of performance in an organization is at the core of any system of performance. This is because in order to evaluate and improve anything in life, we have to know from where we are starting and how we are progressing as time passes (Neale, 1991). Performance measures should be agreed when setting objectives. Armstrong (1999), suggests that measures should relate to results, should be objective, data should be available for measurement and the results should be within the jobholders control.

Competence analysis is concerned with functional analysis to determine work-based competence and behavioural analysis to establish the behavioural dimensions that affect job performance (Armstrong, 1999). Increasingly, organizations are using the language of competencies to inform the processes of recruitment, selections, employee development, pay and reward and management of performance.

2.6. Personal Development Plan

Employee development in the organizational context is a process to help people acquire and maintain the competences and commitment that will improve performance, quality, customer service, and long-term organizational progress. An employee development programme aids in recruitment and retention, stimulates and supports continuous individual development, and helps to enhance the skill and knowledge base of the organization and of individual, (Harrison, 2000).

Employability is described as the ability of an organization to increase an individual's employability by providing career development and learning opportunities (Armstrong, 1999). The business case for increasing employability is that employers need a workforce that can deliver higher productivity, work more efficiently, give reliable and customer oriented service, be innovative and accept the need for continuous personal development and improvement. However obtaining long-term commitment of employees in the current climate of employment insecurity is bound to be difficult. An environment of trust must be developed, so companies will have to be more candid about explaining to employees the demand facing them in their joint

need to secure business growth. In future a measure of the 'good employer' is not necessarily one who pays the highest rate but one who keeps workers' skills and hence their employability up to date (Harrison, 2000).

Armstrong (1998) defines a personal development plan as a plan that sets out the actions people propose to take to learn and to develop themselves. They take responsibility for formulating and implementing the plan but they will receive support from the organization and their managers doing so.

Taking responsibility for one's own development and career is not an easy matter. It requires an informed and objective assessment of the kind of skills and experience that will be relevant for the individual for the future together with access to opportunities to develop those skills and acquire that experience, (Harrison, 2000)

Personal development planning aims to promote learning and to provide people with the knowledge and portfolio of transferable skills that will help to progress their careers.

2.7. Managing performance

As Armstrong (1994) points out that one of the most important aspects of performance management is that it is a continuous process which reflects normal good management practices of direction setting, monitoring and measuring performance and taking action accordingly. Managers should treat it as a natural process of good management rather than something special they have to do.

2.7.1 Managing poor performance

Poor performance is when someone consistently fails to meet the performance standards expected in the job; or their performance has deteriorated to the extent that it is considered that there is a serious risk to the business and / or customers of the business.

V& A Stewart (1988) implores managers to be able to identify employees who cost more to employ than they giveback in results. They suggest that prevention is better than cure when recruiting employees and the Employer needs to know what his options are if all an employers efforts to improve a poor performer look doomed to failure.

Detecting poor performance can be easier in some jobs than in others, but it may not always be as easy as it may seem. Indicators to look for could be the quantity of work being produced, quality of work, absenteeism, dishonesty conflict etc.

It is important for an Employer to understand the causes of poor performance. It may be due to lack of ability or lack of the knowledge necessary to do the job. Various causes of stress can also lead to poor performance for example working under uncertainty or threat driven environment. Poor performance could also be attributed to emotional problems like neurosis / psychosis or social problems like alcoholism and drug abuse. The organisation itself can induce poor performance for example by tolerance of poor standards, poor induction of new recruits, selection errors, or by inadequate performance management and poor training. Working conditions also induces poor performance for example unsafe working conditions, noise etc. Other factors like family problems, attitudes and ethical problems, cultural differences also affect performance. (Stewart, 1988)

Trying to improve poor performance therefore means trying to understand what it is about the individual in his situation that makes poor performance. Ideally nobody should be identified as a poor performer without his being told. It is therefore very important to conduct counselling disciplinary interviews that help to put an action plan together. The aim of these interviews is to establish / manage poor performance by identifying and agreeing on the problem, establishing reasons for the shortfall, deciding and agreeing on the action required, resourcing the action, monitoring and providing the feed back and taking disciplinary action if necessary. (Igen & Pulakos, 1999)

2.7.2 Improving performance

The pressure for improved performance to meet more intense global competition explains why many organizations are setting higher standard for employees and are not retaining those who do not meet those standards. The improvement on performance as part of a continuous process of performance management needs to be tackled at both the organizational and individual level. (Armstrong, 1994)

2.7.3. Key skills for managing performance

There is a huge benefit for managers when the following skills are used in order to assist employees to maintain and regain satisfactory levels of performance.

- **Giving and receiving feedback**

One of the most important skills for any manager to master is giving of feedback. Done well, it can inform, motivate, even inspire. Badly done it can reinforce difficulties, inhibit communication and lead to low morale. Feedback in performance management is positive in the sense that its aim is to point the way to further development and improvement. In order to provide effective feedback it has to be positive, specific on behaviour and actual events, not judging but descriptive, built in on the job, focused and restricted to few key issues (Hill, 1997).

- **Counselling**

The task of counselling is to assist others to make changes in their work or life, or to accept or adjust to changes which they are experiencing in a way that, without counselling, they find difficult or impossible. The purpose is not to advise, but to provide the vehicle for individuals to achieve their own solutions to their problems (Neale, 1991).

Counselling can also be defined as any activity where one individual uses a set of skills and techniques to help another individual to take responsibility for and to manage their own decision-making whether it is work related or personal (Institute of Personnel Management, 1992).

Counselling is therefore central to performance management it is essentially about helping people to help themselves and is particularly relevant to self development (Armstrong, 1994). The counselling process consists of three stages i.e. recognizing and understanding the indicators of problems and issues, empowering the employees by enabling them to recognize their problem or situation and encouraging them to express it and resourcing for the individual best suited to act as a counsellor (IPM, 1992)

- **Coaching**

Although formal training is appropriate for the acquisition of specific theoretical, technical or conceptual knowledge, individuals learn most from day to day application of skills, by trying things out in practice. If these learning experiences are controlled and managers who understand the job and can identify needs provide feedback, then quality and speed of learning are enhanced. The results are greater job satisfaction, greater enthusiasm and improved performance on the part of the employee. This in essence is coaching (Neale, 1991).

Coaching is therefore a structured technique that helps make people aware of how they are performing and to encourage them to stretch themselves. The need for coaching may arise from formal or informal performance reviews but opportunities for coaching will emerge during normal day to day activities (Hill, 1997).

Good coaching requires well-developed listening skills and a supportive consultative approach

2.8. Performance Management Reviews

Armstrong (1999) describes performance review as the formal evaluation stage when a review of performance over a period takes place, covering achievement, progress and problems as the basis for a revised performance agreement and personal development plan. It can also lead to performance rating.

In order to make performance review effective, both parties, supervisor and staff, need to prepare for the meeting so that consideration should be given to the points for discussion. Reviewing performance is not something that managers do to their subordinates rather it is something that they carry out together. It is important that a clear agenda is established for review in advance so that the best use of time is available, everything is covered that needs to be, a balance of reviewing the past and planning for the future is achieved and a balance in discussing and assessing both business objectives and behavioural ones is also achieved.

As Heathfield (2003) suggests, the guideline outlined below can be helpful when conducting a performance management review meeting: -

- a. Establish a comfortable private setting and rapport with the staff person.

- b. Discuss and agree upon the objectives of the meeting, to create performance management plan.
- c. The staff member discusses the achievement and progress he has accomplished during the quarter. The staff member identifies ways in which he could like to further develop his professional performance including training, assignment and new challenges.
- d. The supervisor discusses performance for the quarter and suggests ways in which the staff member might further develop his performance.
- e. Add the supervisor's thoughts to the employees selected areas of development and improvement.
- f. Discuss areas of agreement and disagreement and reach a consensus
- g. Examine job responsibilities for the coming quarter and in general
- h. Agree upon standards for performance for the key job responsibilities
- i. Set goals for the quarter
- j. Discuss how the goals support the accomplishment of the organisation's business plan, the departments and so on.
- k. Agree upon a measurement for each goal
- l. Assuming performance is satisfactory; establish a development plan with the staff person that helps him grow professionally in ways important to him.
- m. If performance is less than satisfactory, develop a written performance improvement plan and schedule more frequent feedback meetings. Remind the employee of the consequences connected with continued poor performance.
- n. The supervisor and employee discuss employee feedback and constructive suggestions for the supervisor and the department.
- o. Discuss anything else the supervisor or employee would like to discuss, hopefully maintaining the positive and constructive environment established thus far during the meeting
- p. Mutually sign the Performance management tool to indicate the discussion has taken place
- q. End the meeting in a positive and supportive manner. The supervisor expresses confidence that the employee can accomplish the plan and that the supervisor is

available for support and assistance. Set a time frame for formal follow up, generally quarterly

2.9. Paying for performance- general consideration

Paying for performance is the process of providing a financial or financially measurable reward to an individual, which is linked directly to individual, group or organizational performance. The objectives of paying for performance are to improve individual, team and organizations by focusing for employees the elements of their performance, which deliver organizational success thus directing their attention, and effort where it is most needed. Focusing also in motivating employees, increasing commitment and identification, reinforcing or helping to change cultures and values, recognizing and rewarding contribution and not just effort, improving the recruitment and retention of high quality employees and flexing pay costs in line with organizational performance. (Armstrong and Murlis, 1998)

2.10. Criteria for success in the implementation of a performance management plan

2.10.1. Success Criteria

There must be an integrated approach to the management of performance policy with other HR polices and the business activities of the organization. All performance management factors must be geared towards creating a shared vision of performance, generating commitment from employees to the concepts of improving performance and creating an environment where it is good to perform. As employees begin to own it is important for management to realize that that performance management is quite dynamic and requires constant nurturing and monitoring.

According to Armstrong (1994) it is important to communicate clearly what success looks like in the organization. This will help the staff identify it when it happens. Successful implementation and sustainability also requires top management commitment and line managers ownership and commitment. Staff also need to believe in the process it has to be seen as being consistent and fair in relation to contribution and ability. The management style must also be appropriate and enabling encompassing a high level of skill by both managers and individuals in defining accountabilities and competences, objectives setting and measuring performance and

contribution. Above all a Head of Human Resources who plays a major and innovative role in ensuring that these conditions are satisfied and maintained.

2.10.2 Best – practice profile for the performance management process.

There is a distinctive, well-communicated and well-understood process for the management of performance in the organization. It is based on the philosophy that everyone shares the responsibility for the effective management and development of performance, and that all are jointly accountable for results that will help to achieve the organisation's goals and purpose. The performance management process ensures clarity about the purpose of every job, role and function in the organization. There are clearly defined, well-understood standards of performance for every job, and the competences levels and values associated with those standards are well communicated and understood. The selection process ensures that people with appropriate aptitudes and values are placed in appropriate positions. There is a sound balance achieved in the performance management process between the focus on performance needed to ensure achievement of work targets and the focus non-development needed to ensure continuous improvement and adaptability. The effectiveness of the performance management process is regularly evaluated, using such methods as questionnaires following review meetings, periodic attitude surveys and focus groups (Harrison, 1999).

	Sample size
Head office	20
West Nairobi and Coast Group of branches	10
East Nairobi and Mt Kenya Group of branches	10
Rift and West Kenya Group of branches	10
Total	50

50 unselected staff were selected using stratified random sampling technique. The number is well above 30, which is generally accepted as the minimum number that is necessary for statistical analysis. Kenya was the headquarters in Nairobi and branches throughout the country. The management were represented by the 5 managers who comprised the task force that spear headed

CHAPTER 3: RESEARCH METHODOLOGY

3.1. Research Setting

The research was carried out at Barclays Bank of Kenya and involved both the management and non-management staff.

3.2. Research Design

This was a case study. The design was preferred because it permitted in depth analysis of the process through which the bank implemented performance management systems.

3.3. Population

Barclays has approximately 1,800 members of which unionised staff form about 55 % of the total staff complement.

3.4. Sample Size and Sample selection

Barclays Bank is currently divided into Head office and three clusters as depicted by the table here below.

	Number of unionised staff	Sample size
Head office	453	20
West Nairobi and Coast Group of branches	175	10
East Nairobi and Mt Kenya Group of branches	225	10
Rift and West Kenya Group of branches	142	10
Total	995	50

50 unionised staff were selected using stratified random sampling technique. The number is well above 30, which is generally accepted as the minimum number that is necessary for statistical analysis. Strata was the headquarters in Nairobi and branches throughout the country. The management were represented by the 5 managers who comprised the task force that spear headed

the implementation of the system. The team was preferred because it had the inside knowledge of the entire process through which the system was implemented.

3.5. Data Collection

The study used the questionnaire method to collect data. 'Drop and Pick' later method was used to serve questionnaires on respondents who work in Nairobi branches while those outside Nairobi had their questionnaires mailed to them using the internal mailing system. The questionnaire was divided into two parts. Part one was concerned with biographical data; part two contained questions that focus on the research objective.

3.6. Data Analysis

Completed questionnaires were edited for completeness and accuracy before processing. The data collected was then coded to facilitate statistical analysis using SPSS computer package. The results of the analysis were summarized using tables, percentages, frequency tables and descriptive statistics to analyse the extent to which Barclays Bank management involved its unionised staff in the performance management implementation process.

A five-point scale analysis was used to determine the extent of unionised involvement and their understanding of performance management.

Table 2: Distribution of the Respondents by Level of Education

	Frequency	Percent	Cumulative Percent
Primary	13	27	27
Primary 6	17	35	61
Secondary degree	15	31	92
Postgraduate degree	4	8	100
Total	49	100	

CHAPTER 4: RESEARCH FINDINGS

The data was collected, using a structured questionnaire, was analysed, summarized and presented in tables, frequency distribution and descriptive statistics.

4.1. Analysis of unionised Respondents Bio data

Questionnaires were sent to 50 unionised and 5 management members of staff. The management respondents comprised the task force team that was involved in implementation of the Performance Management Programme. The response rate was 100% for each case. The following tables summarize the biographical data of the unionised respondents.

Table 2: Distribution of the Respondents by Age

	Frequency	Percent	Cumulative Percent
Below 30	19	38	38
31-35	23	46	84
36-40	5	10	94
41-45	3	6	100
Total	50	100	

From Table 2, 84% Of the respondents are below the age of 35. This could intimate that the respondents are fairly young and susceptible to change.

Table 3: Distribution of the Respondents by Level of Education

	Frequency	Percent	Cumulative Percent
Form 4	13	27	27
Form 6	17	35	61
Bachelors degree	15	31	92
Postgraduate degree	4	8	100
Total	49	100	

From Table 3, at least 20% of the respondents are undergraduates and postgraduates. The remainder of the respondents have a KACE certificate with 35% holding an A Level certificate.

Table 4: Distribution of the Respondents by Level of Professional Qualification

	Frequency	Percent	Cumulative Percent
None	33	66	66
CFA, ACI	1	2	68
CPA	3	6	74
Diploma in banking	7	14	86
Diploma in business studies	1	2	88
Diploma in human resources	1	2	90
Diploma in IT maintenance	1	2	92
Diploma in marketing	1	2	94
Diploma in MIS	1	2	96
Secretarial/computers	1	2	100
Total	50	100	

From Table 4, 66% of the respondents have no professional qualifications. Highest percentage of the professional qualifications hold diploma in banking. This could intimate that majority of the respondents have a good understanding of bank operations.

Table 5: Distribution of the Respondents by Gender

	Frequency	Percent	Cumulative Percent
Male	28	56	56
Female	22	44	100
Total	50	100	

Table 5 depicts the gender split which incidentally reflects the general recruitment policy of balancing the gender. The respondents are 55% male employees and 45 % females.

Table 6: Distribution of Respondents by Length of Service

	Frequency	Percent	Cumulative Percent
1-5 years	15	30	30
6-10 years	17	34	64
11-15 years	15	30	94
16-20 years	3	6	100
Total	50	100	

Table 6 depicts that 70 % of the respondents have worked in Barclays bank for over 5 years.

This intimate that majority of the respondents are highly experienced.

In summary, all the questionnaires received back were usable and the respondents were fairly spread between male and female; possessing a good working experience (only 30% of them had worked for less than 5 years); 94% were below age 40; and respondents were generally well educated but lacking in professional qualifications.

4.2. The unionised employees' understanding of the theory and working of performance management.

Table 7: Respondent knowledge of Performance Management Cycle

	Frequency	Percent	Cumulative Percent
None	4	8	8
To a much less extent	6	12	20
To a less extent	7	14	35
To a moderate extent	27	55	90
To a great extent	5	10	100
Total	49	100	

Table 7 depicts that 65 % of the respondents have a good understanding of how the performance management cycle works. And only 8% of the respondents have no idea of how the performance management cycle works.

Table 8: Respondents knowledge of Barclays Standard Behaviours

	Frequency	Percent	Cumulative Percent
None	1	2	2
To a much less extent	3	6	8
To a less extent	3	6	14
To a moderate extent	20	40	54
To a great extent	23	46	100
Total	50	100	

From table 8, majority of the respondents (86%) are well versed with the Barclays Standard Behaviours.

Table 9: Extent to which Respondents knows how the Barclays Standard behaviours are used to measure his/her performance

	Frequency	Percent	Cumulative Percent
None	3	6	6
To a much less extent	5	10	16
To a less extent	14	28	44
To a moderate extent	22	44	88
To a great extent	6	12	100
Total	50	100	

As shown in Table 9, 44% of the respondents do not understand how the Barclays standard behaviours are used to measure their performance.

Table 10: Respondents understanding of the Performance Review and Assessment Process

Process	Frequency	Percent	Cumulative Percent
None	2	4	4
To a much less extent	7	14	18
To a less extent	7	14	32
To a moderate extent	26	52	84
To a great extent	8	16	100
Total	50	100	

It is evident from Table 10 that 68 % of the respondents had good understanding of the performance review and assessment process.

As a whole the findings presented so far indicate a clear understanding of the workings of the performance management cycle by large proportion of the unionised employees of the bank. There is also good knowledge of the banks standard behaviours. In Barclays, the performance management cycle involves the following:

Discuss, agree and create Objectives and Measures for the year ahead, and the Personal Development Plans. Quarterly reviews of last quarter's achievements and Preview of the coming quarter.

The Performance Assessment is based on achievement of objectives and the behaviours that someone used to achieve their objectives. At all other points in the year, the manager provides regular coaching support, and gives objective feedback on individual and team performance, especially behaviours.

On the other hand, 'positive' and 'negative' behaviours are described as performance imperatives, which outline the behaviours that people need to demonstrate in order to be successful in their job role. And there are other behaviours that are unacceptable because they will only lead to poor performance.

The research findings also indicate that although a sizeable number of the employees appreciate the performance review and assessment process a significant proportion could not see the role and place of the Barclays Behaviours in Performance measurement.

4.3. Involvement of unionised employees and their representatives in the implementation of performance management programme

Table 11: Extent of Respondents involvement in initial discussions of performance management system

	Frequency	Percent	Cumulative Percent
None	8	17	17
To a much less extent	4	8	25
To a less extent	13	27	52
To a moderate extent	18	38	90
To a great extent	5	10	100
Total	48	100	

As shown in Table 11, 52 % of the respondents felt that they were not involved in the initial discussions of the implementation of the performance management programme by the bank.

Table 12: Empowerment of employees

	Frequency	Percent	Cumulative Percent
None	3	6	6
To a much less extent	10	20	27
To a less extent	14	29	55
To a moderate extent	12	24	80
To a great extent	10	20	100
Total	49	100	

Table 12 shows that 55 % of the respondents felt that they were left out and not adequately included in the implementation process. This category also felt that implementation was hurriedly done and that wider consultation with junior employees should have been carried out before implementation.

Table13: Explanation by management of the need for Performance Management.

	Frequency	Percent	Cumulative Percent
Yes	32	64	64
No	18	36	100
Total	50	100	

Table 13 shows that 64 % of the respondents felt that the “ need” of performance management was explained to them by the management.

Table 14: Extent to which Performance Management was explained to respondents

	Frequency	Percent	Cumulative Percent
To a much less extent	3	12	12
To a less extent	6	24	36
To a moderate extent	9	36	72
To a great extent	7	28	100
Total	25	100	

From the Table 14, 36% felt that to a less extent and much less extent performance management was explained to them where as 64 % felt that to a moderate and great extent, performance management was explained to them.

Table 15: Extent to which the respondents expressed their views on Performance Management, before it was implemented.

	Frequency	Percent	Cumulative Percent
None	4	14	14
To a much less extent	3	11	25
To a less extent	5	18	43
To a moderate extent	11	39	82
To a great extent	5	18	100
Total	28	100	

From Table 15, 47 % of the respondents felt that from a moderate to a great extent expressed their views on performance management before implementation. This could imply that the bank did not receive conclusive feedback before its implementation.

Table 16: Extent to which the respondents were Involved in the setting of their performance management objectives

	Frequency	Percent	Cumulative Percent
None	15	30	30
To a much less extent	6	12	42
To a less extent	16	32	74
To a moderate extent	7	14	88
To a great extent	6	12	100
Total	50	100	

From Table 16, 30 % of the respondents indicated that they were not involved in setting their performance management objectives. Another 44% had indicated that their participation was limited. The two groups felt that the objectives are irrelevant and impractical. They recommend that the reviewee be involved in the creation of the objectives and that the same should be quantified into measurables to avoid bias and subjectivity. They also felt that the managers are not able to interpret Barclays Behaviours in relation to specific roles and therefore the objectives are arbitrarily set.

Table 17: Extent to which the respondents were involved in the reviewing of their performance objectives

	Frequency	Percent	Cumulative Percent
None	5	10	10
To a much less extent	7	14	24
To a less extent	17	34	58
To a moderate extent	12	24	82
To a great extent	9	18	100
Total	50	100	

From Table 17, 58% of the respondents felt that they were not involved in the reviewing of the performance objectives. This group felt that the process was fraught with inconsistencies

Table 18: Regularity with which Respondents receive regular coaching and feedback from supervisors

	Frequency	Percent	Cumulative Percent
None	9	18	18
To a much less extent	12	24	43
To a less extent	16	33	76
To a moderate extent	11	22	98
To a great extent	1	2	100
Total	49	100	

From Table 18, 76 % felt that they do not received regular coaching and feedback from their supervisors.

Table 19: Extent in which respondents are involved in evaluating own performance.

	Frequency	Percent	Cumulative Percent
None	6	12	12
To a much less extent	10	20	33
To a less extent	17	35	67
To a moderate extent	10	20	88
To a great extent	6	12	100
Total	49	100	

From Table 19, 67% felt that they were not involved or had little involvement in the evaluation of their performance including their rating

Table 20: Extent to which Respondents was given freedom to accept or reject the rating of his/her performance

	Frequency	Percent	Cumulative Percent
None	12	24	24
To a much less extent	14	28	52
To a less extent	12	24	76
To a moderate extent	6	12	88
To a great extent	6	12	100
Total	50	100	

From Table 20, 76 % felt that they have not been given freedom to accept or reject the rating of their performance. They felt that the ratings were pre-determined and too much emphasis was given to the business as opposed to individual achievements.

Table 21: Extent to which Management is willing to change the evaluation rating, if challenged

	Frequency	Percent	Cumulative Percent
None	18	36	36
To a much less extent	13	26	62
To a less extent	10	20	82
To a moderate extent	8	16	98
To a great extent	1	2	100
Total	50	100	

Looking to Table 21, 82% felt that the management were not willing to change the evaluation rating if they were challenged. They felt that a panel of at least 5 people to avoid bias should do the evaluation ratings and subjectivity and that audits of the performance should be carried out regularly to ensure consistent application across the bank.

Table 22: Extent to which Management has put feed back measures from Unionised employees

	Frequency	Percent	Cumulative Percent
None	7	14	14
To a much less extent	16	33	47
To a less extent	13	27	73
To a moderate extent	7	14	88
To a great extent	6	12	100
Total	49	100	

As shown in Table 22, 73 % felt that the management have not put measures or strategies in place to provide feedback to the unionised employees on the working of the system.

Table 23: Extent to which Management has put corrective measures to be taken in case of deviation from set standards

	Frequency	Percent	Cumulative Percent
None	3	6	6
To a much less extent	13	27	33
To a less extent	12	24	57
To a moderate extent	15	31	88
To a great extent	6	12	100
Total	49	100	

In Table 23, 57% felt that the management had not put measures / strategies in place to determine corrective measures to be taken in case of deviation from the set standards.

Table 24a: Respondents performance review includes feed back from peers

	Frequency	Percent	Cumulative Percent
Yes	24	49	49
No	25	51	100
Total	49	100	

Table 24b: Respondents performance review includes feed back from internal customers

	Frequency	Percent	Cumulative Percent
Yes	21	44	44
No	27	56	100
Total	48	100	

Table 24c: Respondents performance review includes feed back from external customers

	Frequency	Percent	Cumulative Percent
Yes	8	16	16
No	41	84	100
Total	49	100	

Table 24d: Respondents performance review includes feed back from juniors

	Frequency	Percent	Cumulative Percent
Yes	13	27	27
No	35	73	100
Total	48	100	

Table 24e: Respondents performance review includes feed back from seniors

	Frequency	Percent	Cumulative Percent
Yes	37	74	74
No	13	26	100
Total	50	100	

From the tables 24a-e we can deduce that 51% of the respondents said that their performance review **did not** include feeds back from their peers. 56% said that their performance review **did not** include feedback from their internal customers. 84 % indicated that their performance review **did not** include feed back from their external customers. 73% indicated that their performance review **did not** include feed back from their juniors. 26 % indicated that their performance **did not** include feed back from their seniors.

The study indicates that performance ratings are largely influenced by management feedback with little involvement of peers, external customers, and juniors.

Table 25: When the Bank introduced Performance Management

	Frequency	Percent	Cumulative Percent
Missing	8	16	16
2001	1	2	18
2002	1	2	20
2003	40	80	100
Total	50	100	

In Table 25, 20 % missed the year when the bank implemented the Performance management programme. The programme was introduced to unionised staff on 1st April 2003.

4.4. Communication of performance management

Table 26: Communications used to relay the Performance Management objectives to Respondents

	Frequency	Percent	Cumulative Percent
Through training	5	11	11
Through discussions with supervisor	7	15	26
Through written guidelines and procedures	9	19	45
Through Training & Discussion with supervisor	1	2	47
Through Training, written guidelines and procedures	2	4	51
Through discussions with supervisor, written guidelines & presentations	4	9	60
Through training, discussions with the supervisor, written guidelines	12	26	85
Any other	7	15	100
Total	47	100	100

From table 26, we can identify the various medias used by the bank to communicate the performance management objectives. 26 % received training, written guidelines and discussions with the supervisors. 19% of the respondent had written guidelines and procedures. 15 % of the

respondent had performance management communicated through discussions with the supervisors only. 11 % through training only.

From the sample we observe that performance management was communicated to the respondent. It would appear Human Resources prepared some performance management training guidelines and that was the main medium used to educate and sensitise the staff. The misgivings of such a method are clarity and accountability. Written guidelines are most effective when accompanied by a presentation. This goes along way to ensure that staff are clear on what is before them. The assumption of issuing written guidelines is that staff will be accountable to read them and this is not the case most of the time.

None the less the objectives of the programme appear to have been communicated.

4.5. Management task force responses

Questionnaires were sent to the five members of the Performance Management Programme implementation task force and all responded. The findings were compared with the responses of the unionised staff. The findings of the study are as follows:

Table 27: Distribution of the Respondents by age

	Frequency	Percent	Cumulative Percent
Below 30	1	20	20
31-35	1	20	40
41-45	3	60	100
Total	5	100	

From Table 27 we find that the management's ages are well represented in the various identified age brackets.

Table 28: Distribution of the Respondents by level of education

	Frequency	Percent	Cumulative Percent
Form 6	1	20	20
Bachelors degree	2	40	60
Postgraduate degree	2	40	100
Total	5	100	

From Table 28 we find that the management task force included 2 postgraduate holders, 2 Bachelors degree holders and one 'A' level that undertook diploma in banking. This depicts a fully qualified task force.

Table 29: Distribution of the Respondents by Level of Professional Qualification

	Frequency	Percent	Cumulative Percent
	2	40	40
CPS	1	20	60
Diploma in banking	1	20	80
MIS diploma	1	20	100
Total	5	100	

From Table 29, we find that 3 out of 5 hold diplomas. From the above we can deduce that the bank has a competent task force, with each bring some form of expertise from their various discipline. To deliberate further, one has a diploma in banking this helped in understanding the banks operations; one has a diploma in MIS and another in CPS. We however note that none of them have a professional qualification in Human Resources. This task force seems to have relied on their "hands on" experience in HR to drive this task.

Table 30: Distribution of the Respondents by Gender

	Frequency	Percent	Cumulative Percent
Male	4	80	80
Female	1	20	100
Total	5	100	

From Table 30 we find that the task force comprised of 4 males and 1 female.

Table 31: Extent of Respondents involvement in development of performance management system

	Frequency	Percent	Cumulative Percent
None	5	100	100

From Table 31 we find that none of the members of the task force were involved in the development of performance management system. This raises the question of whether they themselves were convinced that Performance management program was a good idea and whether they were able to own it and drive it with like passion.

Table 32: Extent of Respondents involvement in the implementation of performance management system

	Frequency	Percent	Cumulative Percent
To a much less extent	1	20	20
To a great extent	4	80	100
Total	5	100	

From the Table 32 we find that all the respondents were involved in the implementation process where 4 out of 5 felt they were involved to a great extent.

Table 33: Extent to which respondents made attempts to educate employees and secure their acceptance of performance management before implementation

	Frequency	Percent	Cumulative Percent
To a moderate extent	2	40	40
To a great extent	3	60	100
Total	5	100	

From Table 33 we find that 3 out of 5 of the respondents felt that to a great extent attempts were made to secure the employees acceptance.

Table 34: Extent of which Respondents felt that unionised employees were represented/involved in initial discussion of the implementation of performance management system

	Frequency	Percent	Cumulative Percent
To a moderate extent	3	60	60
To a great extent	2	40	100
Total	5	100	

As shown from Table 34, we find that 3 out of 5 felt that to a moderate extent, unionised employees were involved in initial discussions of performance management. However when compared with the unionised employee's response in Table 10, We find that 52 % of the unionised employees felt that they were involved to a much less extent.

Table 35: Explanation by respondent of the need for performance management to the unionised employees?

	Frequency	Percent	Cumulative Percent
Yes	5	100	100

The entire task force was convinced that the need of performance management was adequately explained to the unionised employees before implementation. This compares well with the 64% of unionised respondents who observed the same.

Table 36: Extent to which Respondents felt that unionised Employees accepted the explanation on need for performance management

	Frequency	Percent	Cumulative Percent
To a less extent	1	25	25
To a moderate extent	3	75	100
Total	4	100	

From Table 36, shows that Management felt that the unionised employees to a moderate extent accepted the Banks explanation on the need for performance management.

Table 37: Extent to which Respondents felt that unionised employees expressed their views through their representatives or otherwise about the system

	Frequency	Percent	Cumulative Percent
To a moderate extent	1	100	100
Missing	4		
Total	5		

From Table 37, 4 put of 5 missed to fill this field. It may be that they did not know

Table 38: Extent to which Respondents communicated performance management to the employees through training

	Frequency	Percent	Cumulative Percent
To a less extent	1	20	20
To a moderate extent	3	60	80
To a great extent	1	20	100
Total	5	100	

From Table 38, 3 out of 5 felt that to a moderate extent performance management was communicated through training.

Table 39: Extent to which Respondents communicated performance management to employees through written guidelines

	Frequency	Percent	Cumulative Percent
To a great extent	5	100	100

From Table 39, 5 out of 5 respondents advised that Performance management was communicated through written guidelines. This clearly was the preferred method of communication to the unionised employees.

Table 40: Extent to which Respondents felt that the unionised employees accepted performance management system

	Frequency	Percent	Cumulative Percent
To a less extent	2	40	40
To a moderate extent	3	60	100
Total	5	100	

From Table 40, 3 out of 5 felt that to a moderate extent unionised employees accepted the performance management system.

Table 41: Extent to which measures/strategies have been put in place to provide feed back to the unionised employees on the working of the system

	Frequency	Percent	Cumulative Percent
To a moderate extent	4	80	80
To a great extent	1	20	100
Total	5	100	

Table 41 depicts that 4 out of 1 felt that to a moderate extent measures/ strategies have been put in place to provide feed back to the unionised employees.

Table 42: Extent to which measures/strategies have been put in place to determine corrective measures to be taken in case of deviation from set standards

	Frequency	Percent	Cumulative Percent
To a moderate extent	1	20	20
To a great extent	4	80	100
Total	5	100	

Table 42 depicts that 4 out of 5 of the respondents felt that to a great extent measures / strategies have been put in place to determine corrective measures to be taken in case of deviation from set standards.

Table 43: Has system been revised since implementation?

	Frequency	Percent	Cumulative Percent
Yes	1	20	20
No	4	80	100
Total	5	100	

From Table 43, 1 out of 5 was not sure whether the system had been revised.

Table 44: Extent to which unionised employees were involved in revising the system

	Frequency	Percent	Cumulative Percent
To a much less extent	1	100	100
Missing	4		
Total	5		

From Table 44, Out of the one who felt that the system had been revised, the unionised employees were involved to a much less extent.

Table 45: Extent to which performance management has improved the bank's operations

	Frequency	Percent	Cumulative Percent
To a moderate extent	4	80	80
To a great extent	1	20	100
Total	5	100	

From Table 45, 4 out of 5 were convinced that Performance management has improved bank operations to a moderate extent.

Table 46: Extent to which performance management system is integrated to other human resources policies

	Frequency	Percent	Cumulative Percent
To a great extent	5	100	100

From Table 46, it was agreed by all that performance management is well integrated with the existing human resources policies.

Table 47: How Performance Management system was developed

	Frequency	Percent	Cumulative Percent
A consultancy firm, Strategy in Action together with Barclays Africa HR	1	20	20
Barclays Africa	1	20	40
Developed at Barclays Africa office with help of HR specialists	1	20	60
developed strategically from group head office	1	20	80
UK based of the group principals	1	20	100
Total	5	100	

From Table 47, we can summarise that performance management programme was developed externally in the UK with the help of HR specialists. This implies that the task force where only implementers.

Table 48: Preparations done prior to implementation of system

	Frequency	Percent	Cumulative Percent
	2	40	40
Discussions with unions, collating materials, distribution, workshops, forums, circulars, morning briefs, check for 'fit' with existing policies	1	20	60
Training of line managers, cascade through booklets, circulars, open forums	1	20	80
Training workshops, regular communication of the changes	1	20	100
Total	5	100	

From Table 48, we can conclude that the task force worked on the model to ensure that it is “fit” with the existing policies. The training of managers was through booklets and internal circulars. This could be the main reason behind the rejection by the union as the managers were not intensively trained.

None of the members of the task force were involved in the development of the Performance Management programme. However, all the respondents were involved in the implementation of the programme. The Programme was developed by a United Kingdom based Consultancy firm together with Barclays Africa Human Resources Division based in the UK.

An interesting contrast in responses arises in the area of involvement of unionised employees in initial discussions of the Performance Management programme. All the task force team members were unanimous that unionised employees were involved in early discussions and that attempts

were made to educate and secure acceptance of Performance Management before implementation. Preparations undertaken prior to implementation included, discussions with the unions, workshops, circulars, morning briefs, training of line managers, cascade through booklets, and check for "fit with existing policies. Only 48% of the unionised employees responses agreed with the management team.

Another stark contrast of note is that management team respondents felt that the Performance Management system was explained to the unionised and also felt that unionised employees accepted the system.

The study also reveals that the management team is quite positive that adequate measures are in place to provide coaching and feedback, and corrective measures to be taken in case of deviation from set standards.

80% of the respondents indicated that the programme has not been revised since implementation. This is consistent with knowledge that the programme was implemented in April 2003.

All the members of the task force felt that the introduction of the performance management programme has led to improvement in bank's operations.

5.2 Knowledge of Performance Management Principles

The study revealed that 65% of the respondents had good knowledge of the performance management cycle. The remainder opined that they did not have clear perception of the performance management cycle. There is also good knowledge of the banks standard behaviours. In Barclays, the performance management cycle involves the following:

1. Discuss, agree and create Objectives and Measures for the year ahead, and the Personal Development Plans.
2. Quarterly reviews of last quarter's achievements and Preview of the coming quarter.
3. The Performance Assessment is based on achievement of objectives and the behaviours that someone used to achieve their objectives.

CHAPTER 5: SUMMARY AND CONCLUSIONS

5.1 Introduction.

The study had one objective, which was to establish the extent of the unionised employees involvement in the implementation of the performance management programme.

The research was a case study carried out in Barclays bank (K) Ltd. Data was collected using the questionnaires. The 'drop and pick later' method was used for those branches within Nairobi area. The internal mailing system was used to reach respondents in upcountry branches. 100% response rate was achieved.

Questionnaires were also sent to the five-member management task force team that was responsible for the implementation of the Performance Management Programme. All of them responded and their responses were compared with those of the unionised employees.

The data collected in this study was then summarised and presented in the form of tables, frequency distribution and descriptive statistics.

5.2 Knowledge of Performance Management Principles

The study revealed that 65% of the respondents had good knowledge of the performance management cycle. The remainder opined that they did not have clear perception of the performance management cycle. There is also good knowledge of the banks standard behaviours. In Barclays, the performance management cycle involves the following:

1. Discuss, agree and create Objectives and Measures for the year ahead, and the Personal Development Plans.
2. Quarterly reviews of last quarter's achievements and Preview of the coming quarter.
3. The Performance Assessment is based on achievement of objectives and the behaviours that someone used to achieve their objectives.

4. At all other points in the year, the manager provides regular coaching support, and gives objective feedback on individual and team performance, especially behaviours. 'Positive' and 'negative' behaviours are described as performance imperatives, which outlines the behaviours that people need to demonstrate in order to be successful in their job role. And there other behaviours that are unacceptable and will only lead to poor performance.

The research findings also indicate that although a sizeable number of the employees appreciate the performance review and assessment process a significant proportion could not see the role and place of the Barclays Behaviours in Performance measurement.

The study also revealed that the management team was happy with the education and communication of the performance management cycle to the unionised employees.

5.3 Involvement of the unionised employees

The study revealed that 52% of the unionised employees felt that they were not involved in the initial discussions regarding the implementation of the performance management programme. On the other hand, the management team felt that strong attempts were made to involve the employees in implementation of the programme.

75% of the unionised employees indicated that management has done little to empower their participation in the implementation of the programme. The management teams responses, on the other hand, indicated that they were satisfied that the unionised employees were adequately prepared prior to implementation of the programme. Some of the preparations were:

1. Discussions with the employees' representatives
2. Training line managers and supervisors
3. Training workshops, forums
4. Cascade through booklets and circulars
5. Check for "fit" with existing policies
6. Regular communication of the changes

5.4 Management practice.

The study further reveals that management practices have an impact on the perception and acceptance of the Performance Management Programmes:

30 % of the respondents indicated that they were not involved in setting their performance management objectives. Another 44% had indicated that their participation was limited. This group felt that management were overbearing to the extent of imposing the objectives without discussion and agreement with the employees.

58% of the respondents felt that they were not involved in the reviewing of the performance objectives. This group felt that the process was full of inconsistencies and no direct links between achievement and reward. They would prefer that even moderate performers be rewarded.

76 % felt that they do not received regular coaching and feedback from their supervisors. They believe that performance management should be primarily for developing people and not for disciplining them.

67% felt that they were not involved or had little involvement in the evaluation of their performance including their rating.

76 % felt that they have not been given freedom to accept or reject the rating of their performance. They felt that the ratings were pre-determined and too much emphasis was given to the business as opposed to individual achievements. 82% felt that the management were not willing to change the evaluation rating if they were challenged.

5.5 Conclusions

50 and 5 questionnaires were sent to unionised employees and management task force, respectively and all the questionnaires were received back. The unionised responses were proportionately spread across the three clusters and Head Office.

The study revealed that most of the unionised employees have good knowledge and awareness of the theory and working of the Performance Management cycle, Barclays Behaviours, and the Performance evaluation process.

The research findings also indicate that although a sizeable number of the employees appreciate the performance review and assessment process but a significant proportion could not see the role and place of the Barclays Behaviours in Performance measurement.

Majority of the unionised employees were not involved in the initial discussions that led to the implementation of the Performance Management Programme. They also felt that management did little to encourage their participation and that the programme was hastily implemented.

Most of the unionised employees felt that strong attempts were made to communicate the Performance Management message through training workshops, regular team meetings and through written communication such as booklets, and circulars. However, they felt that implementation was rushed before the concept was well understood and buy-in achieved. They also opined that the programme was not concordant with local conditions.

The findings also revealed that implementation of the Performance Management Programme has been affected by perceived poor management practices. The unionised employees felt that they were not involved in the setting of their performance objectives. They also feel that their views are ignored when evaluating their individual performance ratings.

5.6 Recommendations

From the foregoing it is clear that the implementation of the Performance Management Programme has been adversely affected by lack of ownership by the unionised employees, which emanated from little involvement in the initial discussions prior to. It is clear that the management team was not involved in the design and development of the performance management programme, which was done in the United Kingdom with little or no input from the local HR team. However, both the unionised and management employees consider performance management useful and would like to see it take root in the bank.

There is also discontent regarding setting of objectives, measurement of achievement, and rewarding of achievement. The unionised employees feel that management is irresponsible and does not often include them in the performance management cycle/process. They also feel that the management, who do not seem to have strategies to correct any deviations from set standards, offers little feedback and coaching.

Founded on the above premises, the following recommendations could be made:

Firstly, a thorough audit of the programme needs to be undertaken and unionised employees sought and collated. It will be useful to look at the performance contracts/SMART objectives in place and the latest performance reviews analysed to ensure consistent application of standards and objectivity in assessments.

Secondly, the Line Managers, Supervisors, and Union leaders need to be retrained. The leaders should then be empowered to coach or train the unionised employees through both formal and informal workgroups.

Lastly, management should endeavour to cultivate trust through clear objective setting and fair performance reviews and assessments. There also needs to be very objective linkages between achievement and rewards. Where possible the management need to show that there is a direct link between the individual performances to organisational performance

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5.7 Limitations of the study

The study was limited by the following factors:

Firstly, the Researcher would have liked to hold discussions with the original team that developed the Performance management system for Barclays Africa. This would have assisted in clarifying further where the Kenyan Task Force may have gone wrong, but establishing contacts overseas was difficult.

Secondly, there seemed not to be much write-up on "Performance Management in Kenya". This would have gone a long way in understanding this practise from a Kenyan perspective and subsequently adding value to this paper.

5.8 Suggestions for further study

This study was a case study on Barclays Bank. No attempt was made in this study to understand similar practises in other banks and industries. It is therefore suggested that a study should be carried out on a broader scale this will establish the "best practice" in implementing a performance management program.

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APPENDICES

Appendix I: Questionnaire 1

For unionised staff

This questionnaire has been designed to help me obtain feedback on the application of performance management principles. Please take a brief moment to complete the form and return it to the researcher .

Part A: BIODATA

1. In which of the following age brackets do you fall(please tick appropriate box)

Below 30 () 31-35 () 36-40 () 41-45 () 46-50 () above 50 ()

2. What is your highest level of formal education?

Form 4 () Form 6 () Bachelors degree () Postgraduate degree ()

Professional qualifications (), specify.....

3. What is your gender? (please tick appropriate box)

Male () Female ()

4. For how long have you been working for Barclays bank?

1 - 5 years () 6-10 years () 11- 15 years ()
16 - 20 years () 21 - 25 years () over 25 years ()

5. What is your current position in the bank?

Part B

Rate each of the following statements by marking "X" on appropriate box

Rating are as follows:

5=To a great extent

4 = To a moderate extent

3=To a less extent

2=To a much less extent

1= None

	5	4	3	2	1
6. To what extent were you or your employee's representatives involved in the initial discussions of the implementation of the Performance management system by the bank?					
7. To what extent has the management taken specific actions to empower employees to participate effectively in the implementation of Performance Management?					
8. Was the need for Performance Management system explained to you? Yes () No () If yes, to what extent did you accept the explanation ? If no, to what extent did you express your views through your representatives or otherwise about the system?					
9. To what extent do you know how the Performance management cycle works?					
10. To what extent were you involved in setting your performance management objectives ?					
11. To what extent do you know what the Barclays standard behaviours are ?					

12. To what extent do you know how the Barclays standard behaviours are used to measure your performance?
13. To what extent do you understand the performance review and assessment process?
14. To what extent were you involved in reviewing your performance objectives?
15. To what extent do you receive regular coaching and feedback from your supervisor?
16. To what extent are you involved in the evaluation of your performance, including the determination of your rating?
17. To what extent are you given freedom to accept or reject the rating of your performance?
18. To what extent has the management been willing to change the evaluation rating, if challenged?
19. To what extent has the management put measures / strategies in place to provide feed back to the unionised employees on the working of the system?
20. To what extent has the management put measures / strategies in place to determine corrective measures to be taken in case of deviation from the set standards?

General Comments on Performance Management and YOU

21. One thing that you feel is working particularly well for you: DATE: _____
22. One thing that you feel is not working :
23. One thing the bank should do to make Performance Management work :

Multi source Feed back on behaviour

24. Does your performance review include feedback from your peers ?

Yes () No. ()

25. Does your performance review include feed back from your internal customers?

Yes () No. ()

26. Does your performance review include feed back from your external customers?

Yes () No. ()

27. Does your performance review include feed back from your juniors ?

Yes () No. ()

28. Does your performance review include feed back from your seniors?

Yes () No. ()

29. When did your bank implement Performance Management ?.....

30. How were the objectives of Performance Management communicated to you?

Through training ()

Through Discussions with the supervisor ()

Through Written guidelines and procedures ()

Any other (Please specify).....

.....

.....

BRANCH : 25 years ()

DATE: years ()

Thank you for your time.

Appendix II: Questionnaire 2

For the Management Task Force

This questionnaire has been designed to help me obtain feedback on the implementation of the Performance Management principles. Please take a brief moment to complete the form and return it to the Researcher .

Part A: BIODATA

1. In which of the following age brackets do you fall(please tick appropriate box)

Below 30 () 31-35 () 36-40 () 41-45 () 46-50 () above 50 ()

2. What is your highest level of formal education?

Form 4 () Form 6 () Undergraduate () Postgraduate ()

Professional qualifications (), specify.....

3. What is your gender? (please tick appropriate box)

Male () Female ()

4. For how long have you been working for Barclays bank?

1 - 5 years () 6-10 years () 11- 15 years ()
16 - 20 years () 21 - 25 years () over 25 years ()

5. What is your current position in the bank?

Part B

Rate each of the following statements by marking "X" on appropriate box

5=To a great extent

4 =To a moderate extent

3=To a less extent

2=To a much less extent

1= None

	5	4	3	2	1
6. To what extent were you involved in the development of Performance Management system?					
7. To what extent were you involved in the implementation of Performance Management system ?					
8. To what extent were attempts made to educate employees and secure their acceptance of Performance Management system before its implementation?					
9. To what extent were the unionised employees represented in the initial discussion of the implementation of the performance management system by the bank ?					
10. Was the need of performance management explained to the unionised employees ? Yes () No () If "Yes" , to what extent did the employees accept the explanation ? If "No", to what extent did the employees express their views through their representatives or otherwise about the system/ discomfort with the system?					
11. To what extent was Performance Management communicated to the employees through training ?					
12. To what extent was Performance Management communicated to the employees through discussion with the supervisor ?					

13. To what extent was Performance Management communicated to the employees through written guidelines and procedures ?

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14. To what extent have the unionised employees accepted Performance Management system?

--	--	--	--	--

15. To what extent have measures / strategies been put in place to provide feed back to the unionised employees on the working of the system ?

--	--	--	--	--

16. To what extent have measures / strategies been put in place to determine corrective measures to be taken in case of deviation from the set standards?

--	--	--	--	--

17. Has the system been revised since its implementation ?

Yes () No ()

If yes to what extent were the unionised employees involved in its revision ?

--	--	--	--	--

18. To what extent do you think that Performance management has improved the banks' operations ?

--	--	--	--	--

19. To what extent do you see the Performance Management system integrated to other Human Resources policies ?

--	--	--	--	--

20. How was the Performance Management system developed and by whom?

.....

.....

.....

.....

21. What preparation did you make prior to its implementation? (The preparation interms of policies & procedures, communication to employees etc.)

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

DATE:

Thank you for your time.

As part of the requirements for my degree of Business Administration degree, the undersigned who is a student in the Department of Business Administration at the University of Toronto, is conducting a management project in partial fulfillment of her M.B.A. degree. The project is titled "The involvement of the criminal staff in the implementation of the Development Programme in Harveys Bank of Kenya Limited."

I kindly request you to answer the enclosed questionnaire. All the information provided by you will be used for the project and will be treated in strict confidence.

Thank you for your time and cooperation in answering the questionnaire.

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Margaret M. ...
M.B.A. Student
Tel: (416) 291-1211

Appendix III: Letter of Introduction

Date.....

The Respondent
Barclays Bank (K) Ltd.
P O Box 30120
Nairobi

Dear Sir/Madam,

RE: MBA Research Project

As part of the requirement of the Masters of Business Administration degree, the undersigned who is a student in the faculty of Commerce, Department of Business Administration at the University of Nairobi is required to undertake a management project in partial fulfilment of her MBA degree. She intends to undertake a study on **“The involvement of the unionised staff in the implementation of Performance Development Programme in Barclays Bank of Kenya Limited”**.

I kindly request you to complete the attached questionnaire. All the information provided by you will be used for this academic exercise and will be treated in strict confidence.

Thank you for taking your time to complete the questionnaire.

Yours faithfully,

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LOWER KADETE LIBRARY

Margaret M. Atandi
MBA Student
Tel +254 20 212550