The University of Aston in Birmingham

M.Sc. Thesis :

The Significance of Performance Appraisal in Improving
Managerial Effectiveness.

M.R. Williams. November 1970.

S U M M A R Y   O F   T H E   T H E S I S

This thesis begins with the premise that, basically,
management involves the conscious attainment of prescribed end
results. The preconditions necessary for the achievement of
those end results and, thus characteristic of the process of
managing are -

The definition and agreement of required objectives.

The development of necessary strategies, in the light

of available resources, to attain the objectives.

The establishment of means of both monitoring and

measuring performance.

A system which ensures that feedback on performance is

communicated to those accountable for achieving

results so that preventive and remedial action may

be taken in good time.

If this rationale of management is accepted, it follows
that the attainment of both corporate and departmental
objectives does not become a workable reality until such goals
have been broken down into specific individual work targets
and re-stated as personal accountabilities. Necessarily, the
individual manager must feel that his personal work targets
are relevant, realistic and attainable with the resources and
support he has at his disposal and within the limits of his
sanctioned authority.

Currently evolving concepts of 'accountability' management, based upon target-setting, performance appraisal and counselling and aimed at improving performance, by means of consciously developed managerial skills and abilities, are exerting a considerable influence upon both the philosophy and practice of management. The need for an effective dialogue when clarifying personal accountabilities, appraising performance, highlighting and making greater use of individual abilities and talking through weaknesses or inadequate performance, is thus assuming even greater significance in managerial relationships.

The research of this thesis is aimed therefore, at assessing the effectiveness of current target-setting, appraisal and counselling practices within a large organisation and to recommend how these crucial managerial controls may be improved. The research has sought to collect and examine data in two complementary areas -

i) The influence of inter-personal competence and work relationships upon appraisal and, ultimately, task performance.

ii) The significance of false assumptions in the basic philosophy of appraisal and the consequent constraints inherent in the derived systems and practices of appraisal.

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CONTENTS

1. THE SCOPE AND AIMS OF PERFORMANCE APPRAISAL

At its most elemental, management involves the conscious attainment of required end results. At the most senior levels of management, 'end results' will mainly be long-term company profit and growth objectives. Lower down the organisation, they are more likely to be the detailed, specific short-term targets and standards of performance necessary to translate board level plans into workable reality. The characteristic hierarchical and pyramidal nature of management structures inevitably means that strategy is evolved at one level and converted into action at several others. Moreover, as organisations grow larger and more complex and as new techniques exert their influence, so lines of communication tend both to proliferate and attenuate. Thus, profit objectives defined at board level, in terms of corporate concepts of expansion and based upon long-term investment/ return cycles, may have little significance to individual managers unless they have been broken down into specific work targets and re-stated as personal accountabilities.

Any statement of objectives raises both questions of their attainment and, therefore, of managerial performance and competence. In the context of overall company strategy, objectives usually reflect a desired return on capital, a more favourable ratio between inputs and output, or a specified, increased share of the market. For the individual manager, objectives must represent his agreed personal contribution and commitment to the attainment of corporate

or departmental goals. Necessarily, such personal work
objectives must be felt by the individual to be relevant,
realistic and attainable within the authority he may
exercise and with the resources he has at his disposal.
More specifically, a manager's ability to do his job satis-
factorily presupposes that he -

i) Fully understands the end results expected of
him in specific terms of output, quality, cost
and deadline, or other appropriate criteria of
requisite performance.

ii) Is provided with adequate resources,
organisational backing and controls, together
with the necessary authority to exercise
discretion within agreed and prescribed limits.

iii) Has reliable and continual feedback so that he
may constantly monitor his performance and
initiate or suggest any necessary corrective
action in good time.

iv) Receives from his immediate superior the
support and guidance which he requires to help
him to deal effectively with those factors -
both personal and organisational - which
impair or restrict his impact within his role.

v)   Finds appropriate personal satisfaction, rewards

and outlets from his particular role and

activities - e.g. intrinsic work satisfaction,

scope for promotion and personal growth, salary,

etc.

The opportunity to ensure that these five preconditions
to effective managerial performance are fulfilled lies to a
great extent within the performance appraisal interview.
Indeed, performance appraisal would seem to be fundamental to
effective management. As an essential and integral part of
the whole process of control, appraisal provides one means by
which relevant information about recent past or current,
performance can be used to influence future results in the
immediate and short term future. Furthermore, it presents
opportunities for both superiors and subordinates to examine
the effectiveness of their working relationship and re-emphasises
for both the interface of their respective managerial accounta-
bilities. It should thus serve to remind both of the inter-
dependence of their roles and activities and provide an
occasion whereby each may re-affirm what he expects of the other
in order to do his own job more effectively.

In general terms, the basic objective of performance
appraisal is to create opportunities for managers and their
subordinates to take stock, jointly, of work that has been
done and to compare actual achievements with expectations.

As McGregor(1) suggests, the process needs to be characterised by mutual analysis not, as has become the traditional pattern, simply a one-way judgment of subordinates by their superiors.

Kelly's(2) research substantiates McGregor's view and makes the point that 'organisational reviews on a more frequent - even daily - basis would help to develop a higher level of expectation of mutual candour within the superior/subordinate relationship.' Both McGregor and Kelly postulated that two-way appraisals, characterised by a high degree of frankness would lead naturally to self-appraisal which, in turn is more likely to result in an increased commitment to improving performance.

To some extent, this concept of appraisal reflects the growing influence of the emerging 'participative' styles of management(3). Undeniably the growth of 'results-oriented' approaches to management such as 'management-by-objectives'(4) and what is currently defined as 'accountability management'(5), are also underlining the crucial significance of joint appraisals in the achievement of required end-results. Thus, until as recently as five years ago the most frequently announced purpose of appraisal was - 'To let people know where they stand'. With the advent of 'task' approaches to management - for example, M.B.O. - which are based upon a recurring cycle of goal-definition, target setting, performance review and follow-up action, there has been a significant and fundamental emphasis in the interpretation

of the purpose of appraisal. Increasingly it is now coming
to be seen as one of the most important means by which managers,
in a paired superior/subordinate relationship, can consider,
jointly, what specific actions must be taken to improve
performance.

In this context, the scope of appraisal now widens
considerably and provides the senior manager of the relation-
ship with opportunities to -

    i)   Acknowledge his subordinate's strengths and
        explore jointly, ways in which greater use may
        be made of them.

    ii)   Acknowledge successes and, where appropriate,
        draw relevant lessons from them.

    iii)   Agree areas where improved performance is
        necessary.

    iv)   Agree what action is required of each (and
        other members of management) in order to
        remedy deficiencies.

    v)   Re-affirm the subordinate's role and the
        significance of his personal contribution to
        the work of departmental and company objectives.

    vi)   Review his own role as a senior manager in
        the light of problems raised by his subordinate.

1.1. Some Significant Factors Influencing Current Managerial Strategies

In order to put the scope, aims and philosophy of performance appraisal into perspective, it is necessary to review some of the principal factors which have influenced management thinking and practice for a decade or more.

First, the pace of growth, both of the size and shape of companies, as well as the speed of development of the science, technologies and techniques to which they are necessarily committed means that attracting, using and retaining the right people are matters of increasing concern. The proliferation of management selection consultants, the increasing space given over to managerial and specialist vacancy advertisements in the national press and the growing trend of professional bodies to publish regular 'appointments supplements' to their journals are symptomatic of the degree of competition in the market for high-calibre recruits. Furthermore, it is - and is likely to continue to be - a seller's market and therefore one which is conducive to high mobility and turnover. The growing numbers of graduates who have specialised in managerial and technical disciplines directly related to the needs of industry and commerce is tending to produce managers and specialists who develop a loyalty to their profession rather than the company fealty of their older counterparts. This, together with the increased awareness of their market potential is giving rise to markedly different career patterns from those of over

twenty years ago. Unless a company can demonstrate
convincingly that it offers scope and outlets for both personal
and professional growth, it will experience a high turnover
amongst its younger technocrats and qualified managers –
especially in conditions of more or less sustained economic
stability.

Secondly, and related to the first factor, the problem
of mental obsolescence, often accompanied by a stiffening
resistance to new concepts and techniques, is leading
increasingly to large numbers of generally middle-aged managers
whose attractiveness, apparent usefulness and thus value to
the company have diminished. This is obviously no new problem
to industry but it is one which is likely to become increasingly
prevalent for, as Mant(6) indicates –

'The cycle of usefulness of expertise is shortening
as technological and economic operations of companies become
more complex'.

Not only is the proportion of managers and specialists
to blue-collar workers increasing, but so too is the number
of white-collar staff whose primary accountabilities lie in
their specialisation, rather than in their role as a manager.
However, the specialist is ultimately so often confronted with
the dilemma of either pursuing his particular line of activity
to the detriment of a career in general management, or of

attempting to combine his specialism with increasing managerial accountabilities and so risk the conflict of objectives that is so often the consequence of such a compromise.

Finally, evolving philosophies and styles of management have placed increasing emphasis upon the need to develop and put to greater use the knowledge, skills and experience of people at all levels. With the disappearance of the earlier 'scientific' and human relations 'happiness' schools of management and the emergence of participative and task-oriented styles, the accountability for improving the current performance and assessing the career potential of subordinates is assuming greater significance in the practice of management. Moreover, the experience of companies which have begun to put into practice, formally, the principles of 'accountability management' is that while areas for which a manager is directly answerable can be delineated he is not the sole determinant of his own performance. Thus, while the need for performance reviews is increasingly being underlined the very scope and nature of the appraisal process appears to be changing fundamentally, as has been suggested earlier. The conventional approach to appraisal, based almost exclusively on unilateral and subjective judgments, tends to ignore the reality of the many constraints which can adversely affect an individual's performance where he operates within a network of interdependent work roles. In larger organisations, particularly, the relationship between individual contributions and the results obtained by group effort may be both tenuous and difficult to

establish, unless personal accountabilities and the requisite
supporting action from superiors, peers and subordinates has
been very clearly defined. Indeed, as McGregor(7) suggested
thirteen years ago the term 'appraisal' is something of an
anachronism and as such is inappropriate.

It is thus against such a background that performance
reviews and counselling are increasingly coming to be considered
as key managerial activities. More and more too, is the
recognition that inappropriate approaches to appraisal may
do far more damage than good, hence the current growing concern
to examine both the philosophy and methodology of performance
appraisal. Furthermore, performance assessments and counselling
interviews, which are the ultimate proving ground for both the
rationale and 'mechanics' of any appraisal system, are more
than hitherto becoming a crucial factor in retaining and
developing people and improving their effectiveness. Too
frequently, appraisal has been seen as an issue in isolation,
either to be got through as quickly as possible, or to be used,
where necessary, either expressly or implicitly as a threat in
order to coerce subordinates into increasing their efforts.
As Humble(8) rightly affirms, appraisals are not 'optional
extras', or merely 'tools of administration' which are largely
the prerogative of the personnel function, they need to be
seen as an integral part of the total process of improving
management process which stresses a manager's role as mentor
to, rather than judge of, his subordinates.

1.2. Appraising Performance, Potential and Salary

Evidence from both research and extensive experience in industry indicates the importance of distinguishing between at least three different forms of appraisal -

        Current performance

        Potential

        Salary/rewards

The studies at General Electric(9) in the States repeatedly confirmed the need to review achievements, in the context of performance improvement, quite separately from appraisals aimed at establishing the size of salary increases. As Meyer, Kay and French found at G.E., approaches to appraisal which set out to provide written justifications for annual rises and, at the same time, attempt to motivate people to greater effort frequently put these two objectives into direct conflict. Moreover, where the primary purpose of the appraisal is vague and where two opposing objectives emerge there is likely to be little or no worthwhile influence upon future performance - rather the reverse. Kay Rowe(10) similarly came to the conclusion, in her research into appraisals in the U.K. that there are occasions when appraisal should have no explicit connection with salary reviews, but added the rider that -

'It would be illogical if there were wide discrepancies between appraisal and salary review, but the two should be regarded as separate activities'.

There is also an apparent lack of logic in separating salary reviews from performance appraisals. Ultimately, salary and reward in its widest context must be demonstrably linked to contribution, including both the results achieved and the degree of directed relevant effort put into their attainment. Undoubtedly, appraisals should provide much of the feedback necessary to determine the extent of reward or, in some cases, amount of 'compensation' a manager deserves. It is as well, too, to remember that factors outwith the control of the job-holder, the need to preserve equity within and between salary scales and pressures external to the company may also exert varying degrees of influence upon the amount by which his salary increases in any one year.

However, the introduction of salary increases into a discussion where the primary task is to talk through the many implications of improving performance means that money, rather than people's effectiveness will become the predominant issue of the interview. Where this happens, the opportunity for discussion of such critical problems as job accountabilities, impact in the role, constraints upon the individual's effectiveness and his personal development is likely to be lost completely. Even where the discussion ostensibly swings back to performance, a subordinate who feels resentful, or disappointed at the news of his increase (or lack of it) is more likely to be 'listening to himself' rather than to what his chief is saying about work results.

Undoubtedly, salary increases, specific promotion prospects, the challenge of new projects and promises of enhanced responsibility are all overt means of demonstrating recognition and appreciation of work that has been well done. Such rewards are potentially the most obvious indication to a manager that his presence and contribution are valued. However, as Thompson and Dalton(11) concluded from their investigations -

'....... once a formal system is set up to publicize a direct link between performance ranking and rewards, the reward chosen becomes the only credible indicator of management's evaluation of individual performance'.

Furthermore, Thompson and Dalton found that the time of year when the general salary increase was given tended to pre-empt all other rewards. Though traditionally salary increases have been linked both implicitly and explicitly directly to contribution Thompson and Dalton and the three researchers into appraisal policies and practices at G.E. all experienced widespread scepticism amongst respondents about the directness of the relationship. Kelly(12) further identifies the erosion which has taken place in the link between salary increases and merit when he states -

'Nowhere is there more confusion and misunderstanding about the value and true functions than in the areas of salary administration........ Little wonder that it is both

galling and frustrating to the manager who experiences a
satisfying appraisal interview only to be told at the
conclusion of the meeting that there is little in the kitty
for him this year'.

Current schools of thought advocate that appraisals
of performance be based upon an assessment of results
achieved, compared with results expected. Prima facie,
assessing what a manager has done against what he was
supposed to have achieved should give an objective measure
of his performance, provided that he agreed the validity of
the criteria against which he was to be appraised.

There is ample evidence to indicate the widespread
dissatisfaction with the traditional, highly subjective forms
of appraisal which use 'assessments' of subordinates'
personalities as a basis for evaluating their effectiveness
as managers. The rejection of the impressionistic approaches
which rely upon graphic rating scales or methods of 'paired-
comparison' ranking as their basis for 'measurement' has,
however, led to a tendency to push the pendulum too far in
the opposite direction. The growing use of M.B.O. approaches
to management has seen a trend towards trying to quantify
performance in exclusively objective terms, while, at the
time avoiding all reference to behaviour and personality.

The difficulty and inappropriateness of trying to measure a manager's total contribution and impact within his role <u>solely</u> in objective and quantifiable terms has been described by Wilfred (now Lord) Brown in 'Exploration in Management'(14) -

'The assumption is often made that a subordinate can be assessed in quantitative figures alone which indicates performance. This assumption is, I think, motivated by the desire to escape from the personal business of passing judgment on another .... A manager has responsibility for making assessments of the work and of the behaviour of his subordinates. This is inescapable'.

The case for measuring a manager's recent or current performance wherever practicable in objective quantitative or qualitative terms is incontestable. However, experience suggests that it is equally important to examine, as well, his perceived attitudes and behaviour in terms of the demands of the role he occupies. In a sense, this provides a basis for exploring the results which a manager is <u>not</u> achieving, but could well do so were his behaviour commensurate with the emotional and inter-personal requirements of his position in management. For example, a manager might be achieving agreed performance levels in the measurable key result areas of his job, but may well be identifying downwards too closely to the detriment of his lateral and upwards relationships, with a consequent failure to gain the respect and confidence of his peers and superiors - i.e. he comes to be viewed as something of a

'security risk' by those whose activities impinge directly or indirectly upon his. He may, too, have allowed himself to be cast in the role of court jester - or 'stooge' by his colleagues and subordinates so that, whilst he may be extremely popular, he loses credibility in the eyes of those upon whom he depends for active commitment and support.

In both instances, there are areas open to question - not necessarily in what the job holder does, but rather in what he is NOT doing and what it is generally, often implicitly, felt that he SHOULD be doing. However, experience indicates that the area of role behaviour is one of the most difficult to talk through during an appraisal interview. Usually discussions about personality factors and behavioural inadequacies presuppose a professional or intimate relationship such as is rarely to be found within industry, between superior and subordinate. Because of social convention, lack of verbal ability and social adeptness in potentially stressful face-to-face situations and the fundamental difficulty of articulating, in objective and emotionally neutral terms, the results of behavioural deficiencies many managers avoid opening up such areas in appraisal counselling interviews. Evidence from discussions with managers (see replies of respondents to questionnaire on page 128, experience from studies carried out on seminars on appraisal within TI and from the results of past research all show that far too frequently managers either

-

i)   Display extremes of social ingenuity to avoid
saying what they would really like to say to
one another.

or

ii)   Ignore the taboo areas completely by tacit
dismissal.

or

iii)   Actively collude with their subordinates over
the question of role behaviour by offering to
- 'get this over as quickly as possible, so
that we can get back to real work again'.

or

iv)   Resort to banal exhortations and admonitions
to - 'do better', or 'pull your socks up' which
have no positive effect whatsoever on job
performance.

or

v)   Contrive a measure of over-assertiveness, based
upon the authority of rank and status, which
they hope will be sufficient to enable them
to act out a coercive role for which they are
basically ill-prepared and which they largely
recognise as being inappropriate to the real
demands of the situation.

Thus the appraisal interview - particularly where the
'taboo' areas are covertly the main issues - tends to become

something of a ritualistic chore, characterised by behaviour
which is predominantly either 'fight' or 'flight'. In 'fight'
situations, the manager and his subordinate may each spend
far too much time trying to vindicate themselves at the
expense of the other. Whether the recrimination is overt and
expressed or whether it remains largely implied there is
ample evidence to show that such confrontations, when repeated
frequently, diminish the strength and effectiveness of working
relationships and in no way improve performance(15). What
may be intended as being helpful, constructive advice may well
be interpreted by a subordinate as an unjustified personal
attack. What is perceived to be an unwarranted or improper
indictment is likely to be met by demands for chapter-and-verse
and counter charges. As Thompson and Dalton(16) state -

'.......appraisal touches on one of the most emotionally
charged activities in business life - the assessment of a
man's contribution and ability. The signals he receives about
this assessment have a strong impact on his self-esteem and
on his subsequent performance'.

On the other hand, a failure to talk through what are
basically the results of a subordinate's deficiencies or
the effects of an inadequate working relationship amounts to
a serious abdication of the managerial role. Where 'flight'
is the predominant characteristic of appraisal interviews and
appraisers and appraisees continually avoid the task of

confronting one another with reality, the process becomes as
Gellerman(17) suggests - 'an exercise in compulsory insincerity'.

Summarised, an appraisal of a manager's <u>current</u>
<u>effectiveness</u> is concerned principally with determining the
most appropriate ways of helping him to do a better job in his
present position. More specifically, it is concerned with
answering the questions -

    i)   Where precisely, at a given point in time, is
           the manager in terms of achievement and
           contribution?

    ii)   What are his particular strengths and how may
           they be further developed and used?

    iii)   What, exactly are his deficiencies and training
           needs and how can these be most effectively dealt
           with?

    iv)   What are the constraints within the environment
           in which he operates and what can be done to
           reduce their adverse effect upon his personal
           impact and who is accountable for taking any
           prescribed remedial action?

more consciously to the longer term implications of corporate
activity and external influences and, perhaps for the first
time in his career, experience the stress and frustration of
being able to exert little real control over events.

The problem of successfully relating the 'here and now'
to the 'where and when' must be largely a matter of conjecture,
but as Wilson(18) states the 'quality' of a manager's present
and past performance should indicate the degree of application
which is likely to be carried over to a more senior position.
This is largely a matter of deciding what constitutes 'quality'
and which are the transferable activities and behavioural
attributes where quality in one role is likely to have a
similarly significant impact in another, e.g. -

    i)   Tolerance of ambiguity and capacity for taking,
rather than avoiding, decisions in the absence
of adequate data.

    ii)   Ability to distinguish consistently between
primary and subordinate tasks, hence the ability
to establish appropriate priorities.

    iii)   Capacity for innovation and the ability to
communicate the implications of proposed or
desired changes successfully.

iv)   Ability to present and support his case in
        the face of opposition without arousing
        excessive hostility.

v)   Success with which he has trained, developed
        and delegated to his existing subordinates
        effectively.

1.3. Research into the Effectiveness of Judgmental Behaviour

Clearly, there are many variables involved in assessing
current effectiveness in order to relate it to future potential
performance, e.g. -

i)   The accuracy and reliability of the assessor's
        judgments, e.g. the extent to which personal
        values, relationships, idiosyncracies and names
        interfere with objectivity.

ii)   The relevance of the attributes and performance
        being assessed, e.g. impressionistic, as against
        analytical, correlated evidence.

iii)   The appropriateness of the criteria which form
        the basis of measurement, e.g. yardsticks of
        efficiency appropriate in one role may be
        unrealistic measures of success in another.

iv)   The similarity/disparity in educational and
        cultural background between the appraiser and
        appraisee (see Luft(19) whose research indicates
        that where both parties to the appraisal are of
        similar, rather than widely differing backgrounds
        there is a significantly greater likelihood of a
        more accurate appraisal.

As Allport's findings(20) suggest the ability to judge
others is neither entirely general, nor entirely specific, i.e.
'It would be unreasonable, therefore, to expect a judge of people
to be uniformly successful in estimating every quality of every
person .... It seems more of an error, however, to consider
the ability entirely specific than to consider it entirely
general'.

Taft(21) similarly found from his research into judgmental
behaviour and the reliability of largely non-analytical
judgments -

'The degree to which a person can make accurate judgements
about others is a function of his general ability to judge and
of specific situational and interactional factors, but the
greater his general ability to judge, the less will be the
relative influence of the specific factors'.

Taft defined 'specific factors' as follows -

i)   The type of person being judged.

ii)   The relationship between judge and judged.

iii)   The type of judgment demanded.

iv)   The traits being judged.

v)   Material available to the judge.

Among Taft's further important conclusions, substantiated by Adams(22), Dymond(23), and Cage(24) were that -

i)   The presence of high projection, identification and empathy in those judging others led to correspondingly high correlations between the judge's assessment of themselves and other people - i.e. they tended to ascribe to others similar goals, values and needs to their own.

(This point seems to be repeatedly reinforced by the evidence currently being assessed by the ERGOM(25) teams evaluating the results of exercise 'Appraisal' which has been completed to date (1970) by well over 1,000 managers in various parts of Europe and the U.S.)

Complementary findings to those in (i) above emerged from the work of Mead(26) and Sullivan(27) who both concluded that there were significant positive correlations between high self-awareness and the ability to assess other people successfully.

ii)   Task-oriented and socially detached judges tended to make more accurate judgments than did socially oriented judges who became emotionally involved with those whom they were assessing. Frequently, those who made consistently inaccurate assessments of others were found to be socially very dependent and poor self-judges.

iii)   The capacity to judge people successfully appears to develop from three areas -

a)   The possession of appropriate judgmental norms.

b)   Judging ability compounded of general intelligence, social awareness and án innate capacity for making nonanalytic assessments (intuitive attribute described by Wedeck(28).

limited practical value for managers whose appraisals
necessarily should reflect much of the working relationship
and mutual interdependence that exists between themselves and
those whose effectiveness they must assess. It is frameworks
of a non-analytic or semi-analytic nature that seem to provide
the most effective and practical means of appraising the
behavioural aspects of both current performance and career
potential.

Van Lennop(30) at the University of Utrecht has developed
a behavioural framework which corresponds with Cattell's
personality continua, but which is written at a far lower level
of abstraction and presented as a series of dimensions directly
related to the managerial situation. Both Shell and Unilever
have taken up Van Lennop's work and adapted it to suit their
needs for appraising role behaviour. Used in conjunction with
a graphic rating scale in order to provide some means of measure
Unilever have developed from Van Lennop's framework the following
areas of behaviour for appraisal -

		Score
1.	There is always a complete personal involvement in any task they have taken on.	1 2 3 4 5
2.	They can spontaneously adjust their original plans to any new developments in the situation.	

3.   They are able to defend their point
       of view emphatically against a
       majority or authority of a contrary
       opinion.

4.   Evaluation of their own prospects is
       realistically linked to their capacities
       and potential.

5.   They know how to transform, break down
       or reformulate an apparently complicated
       problem into workable terms.

6.   Even in situations in which they are
       personally involved they can take a bird's
       eye view in order to make a realistic
       assessment.

7.   They have no tendency to perfectionism
       that hampers their own activities or those
       of their colleagues.

8.   They have a sound imagination, which is a
       continual source of promising ideas.

9.   Their views on the near future usually
       prove to be realistic.

10.   Their thinking is seldom simply in
       'black' or 'white' terms.

11.   Their style of working is such that
       they make the most economic use of
       their time.

12.   They are able to look at their work
       from a higher vantage point and their
       work appears to be directed by a
       personal comprehensive vision.

13.   Their assessment of sources and their
       interpretation of information enables
       them to maintain a continuously
       realistic judgment of the situation.

14.   They do not dislike situations in which
       various activities and obligations over-
       lap in time.

15.   They express themselves clearly and
       unambiguously, and they arouse spontaneous
       interest when they speak face to face,

16.   and in their writing.

17.   They are able to anticipate future
developments in order to cope success-
fully with changes in their functional
situation.

18.   They can see at a glance any looseness
or weakness or error in a proposal.

19.   Also they are alert to anything outside,
which may be of importance for their work
one day.

20.   They give a substantial contribution to
the team-performance without losing their
individuality.

21.   They can see facts and problems in their
interrelation and within a wider context
in order to organise them in relevant
operational systems.

Another semi-analytical approach which has been widely
validated as a method of selecting employees in industry, the
public utilities and the civil service and which offers a
practical means of appraising managerial role behaviour is
Munro Fraser's 'Five-fold Grading'(31). Used in conjunction
with a twenty-point rating scale which permits both an

adequate range of measurement as well as a practical degree
of refinement of assessment, the Five-fold Grading method
seeks to examine behaviour in the following areas -

i)   Impact on Others

         - The responses and reactions which the
            individual's appearance, speech and
            manner evoke in other people.

ii)   Acquired Knowledge

         - Knowledge and experience gained by the
            individual which are relevant to the
            role he occupies/may be promoted to.

iii) Innate Abilities

         - Level of intelligence. The extent to
            which the individual perceives
            relevant relationships. His ability to
            synthesize and conceptualise and operate
            at an appropriate level of abstraction.

iv)   Motivation

         - Level, appropriateness and realism of
            the objectives the individual sets
            himself. His consistency and determin-
            ation in pursuing them and his ability
            to establish appropriate priorities

where objectives are in conflict.

His success in achieving the goals he
sets himself.

v)   <u>Adjustment</u>

- Degree of effectiveness in his relation-
ships with others. The level and types
of role he plays both within the formal
and informal organisations.

His frustration, tolerance and capacity
for dealing with stress situations
effectively.

The principal strengths of the Five-fold Grading system
adapted for use in appraisals of both current effectiveness and
career potential are -

i)   Necessarily, it demands an a priori, rather than
a merely evaluative approach to assessing
performance. It is thus concerned to differen-
tiate between the causes and symptoms of
ineffective behaviour and inadequate performance.
It therefore offers opportunities for a higher
success rate in diagnosing weaknesses correctly
and consequently in prescribing the most
appropriate remedial action.

ii)   It is concerned with areas of the personality
where behavioural patterns are either more or
less consistent or evolutionary. It therefore
provides the assessor with a means of evaluating
behaviour on a basis of what has occurred
regularly in the past is liekly to be a valid
indicator of future performance.

iii)   The basic rationale invites an examination of
the 'crime' rather than of the 'criminal', i.e.
it focuses attention on the results of imperfect
or inadequate behaviour rather than upon the
personal qualities of the individual being
assessed. It thus provides an objective basis
for defining and comparing normative, with
effective, behaviour.

iv)   The five dimensions to personality and behaviour
are not seen as being mutually exclusive, but
interrelate one with another. Combined, they
thus create a relevant overall framework within
which a manager's total impact and contribution
can be assessed.

v)   Though the Five-fold grading does not provide
quantifiable data about behaviour in the same
detail as the multi-variate analyses developed
by Cattell and Eysenck(32) inter alia, it does

provide a far more useful tool for practising managers. Its strength lies not so much in accurate dimensional measurements of personality traits, but in the relevance of the areas of requisite behaviour it seeks to define. It thus introduces a disciplined approach which gives situational analyses of behaviour an objectivity and validity which they so often lack.

1.4. Summary of Section 1

The traditional, impressionistic approaches to appraisal have generally proved to be irrelevant and ineffective because they have relied upon often ill-defined personality 'profiles' as a means of evaluating managerial effectiveness. Both the philosophies and methodology of appraisal evolved in companies have tended to develop on a basis of fallacy - or, at best - empiricism, rather than as the result of thorough investigation of what is actually needed. Consequently, many appraisal practices have been based upon a confusion of personality traits and indications of levels of effort put into the period of work being assessed. There is a spurious air of authenticity about many of the rating scales used which profess to both an accuracy and objectivity and, therefore, validity which they do not in fact possess. Many of the personality characteristics selected for such inadequate 'measurement' are themselves frequently ill-defined, open to misinterpretation and not even always relevant to the demands of the assessee's role.

If discussions about effectiveness and performance are to achieve their purpose they must examine the realities of communication, understanding and interaction between people who, inevitably, are <u>jointly</u> accountable for achieving results. Many of the factors so often assessed on appraisal forms are basically the results of inadequate training, lacking guidance and information which should be provided by a superior for his subordinate. Rather too many appraisal systems which are currently still being operated appear to ignore this crucial aspect of improving performance. Frequently, they are set up almost exclusively from the appraiser's point of view and thus fail to take sufficient account of the significance, in achieving results, of the strength of the relationships that exist between a manager and the subordinates on whom he is passing judgment. As Gellerman(33) states -

'The appraisal is just about as good as the relationship that precedes it'.

Too often, the conventional, personality-trait type of appraisal has failed to improve people's effectiveness and improve performance because it -

    i)   Provides little common ground for objective, factual discussion between a superior and his subordinate.

ii)   Fails to examine the results which have been achieved against those which should have been agreed and expected.

iii)   Does not provide sufficient data for making specific recommendations to correct deficiencies and improve performance.

iv)   Tends to be a grand annual affair which is more of an administrative colossus than a process where there is continuity of both plan and purpose. Such annual reviews tend to be largely retrospective and historical, whereas the purpose of appraisal should be to create frequent opportunities for review so that continual forward planning and progressive action may be undertaken.

v)   Is rarely felt by appraisees(34) to be related to -

     Salary increases.

     Individual career development.

     Succession planning and promotion.

- In short, appraisal is a principal accountability of every manager, and is one of the most important means of providing the feedback which is a necessary preliminary to requisite, effective action.

2.   THE INFLUENCE OF MANAGEMENT-BY-OBJECTIVES UPON APPRAISAL

2.1. The Rationale of M.B.O. and Accountability Management

The planned growth of any company must, by definition,
be based upon objectives which reflect a desired, measurable
improvement in productivity and/or profitability. Conscious,
planned improvement presupposes that there is a known starting
point or datum line, a defined requisite level of attainment
and a period of time in which that objective should be achieved.
If they are to become something more than pious hopes objectives
must be defined in positive, specific terms which are either
quantitative or qualitative. Furthermore, wherever practicable
they must be translated into precise statements of personal
accountability if individual effort is going to be related to
corporate goals.

Over the last ten years, M.B.O. has exerted a significant
influence upon both the philosophy and practice of management.
In seeking to clarify and integrate company, departmental and
individual performance objectives M.B.O., prima facie, represents
a logical, formalised means of relating personal contribution
to improvements in overall profitability. A precondition to a
management-by-objectives approach is the establishment of
agreed, measurable criteria of what is considered to be effec-
tive performance. Furthermore, the success of the approach is
dependent upon the quality of the regular discussions between

managers and subordinates which serve to -

    i)   Monitor performance.

    ii)   Re-affirm or re-define objectives and priorities.

    iii)   Review the controls necessary to ensure that constraints upon personal contribution are kept to a practicable minimum.

Since it was first propounded as a way of managing by Drucker, in 1954(34) these have remained the principal tenets of the philosophy of M.B.O. Indeed, over the last decade, there has been little significant development of the basic concept, though considerable experience in operating management-by-objectives has seen some refinement in the methodology.

In a sense, M.B.O. is basically concerned with managing growth - not simply that of the company, but also that of the individual. It seeks to move from the known to the predicted and expected and represents a way of managing which aims to eliminate or reduce that which is purely subjective, fortuitous or 'played off the cuff'. The management of growth necessarily involves the development and use of appropriate criteria of effective performance. Growth is based upon increasing returns on capital and improvements in the ratio of outputs to inputs. Effective management - particularly the management

of change, innovation and growth - cannot be one hundred per
cent, a formalised, clinical and intellectual process. To
some extent, entrepreneurial risk must always contain some
element of 'hunch'. However, consistent success in recognising,
isolating and optimising the many variables that influence
managerial action and the ability to perceive the interplay of
relevant relationships presupposes both analytical skills and
techniques of a high order. Furthermore, consistency in
forecasting and control depends upon the existence and
intelligent use of quantitative and qualitative criteria of
excellence - both at individual strategies of a company.

Both corporate and individual objectives require that the
assumptions, yardsticks and predictions upon which they are
based are constantly reviewed so as to take account of changing
influences and conditions. Moreover, the objectives themselves
must also be reviewed to ensure that they are currently
appropriate, attainable and valid. In the absence of clearly
defined company objectives which are continually subjected to
review, individuals may have difficulty in relating successfully
to activities on a wider front. Conversely, unless the contri-
bution of individual managers is defined and planned and
unless his performance is monitored and 'measured', departmental
objectives and company profit plans may remain wishful thinking.

Objectives at the most senior levels may not alter
significantly in the short term, especially in large, capital-
intensive companies where the investment/return cycle must,

almost inevitably be measured in years. However, the specific
targets and standards of performance of individual managers
which represent the tactics necessary to make overall strategy
a reality may well change annually, monthly, or - even weekly.
The fact that a manager's job objectives and short-term targets
may change is, in itself, reason enough for helping him to
establish valid benchmarks and a means of both monitoring and
reviewing his contribution in terms of achieved end results.

In the conditions of constant change characteristic of
management there is evidence(35) to suggest that too few
managers have a clear, realistic idea of what is expected of
them in terms of specific end results. Individual and group
attitudes, formal and informal roles and unofficial as well
as official relationships are the reality of most management
structures and may result in an informal extant organisation
which bears little resemblance to the manifest hierarchy
printed on the official company organisation charts. It is
the informal groupings, conflicting 'tribal' aims and objectives
and differing interpretations at each level, and within the
different functions, of management that can confuse,
corrupt or distort intended official objectives and directives
and consequently erode and re-shape boundaries to individual
accountability and authority. Frequently these are the problems
that impose the most restricting constraints upon the personal
impact of individual managers. Paradoxically they are all too
often the issues which are not given the prominence they deserve

in discussions between managers and their subordinates -
possibly because the root causes of the problem become lost
in the confusion of the effects.

Where a company has no known or recognisable philosophy,
there is hardly likely to be a coordinated approach to problems
which seeks to integrate, rather than isolate, departmental
and individual work objectives. Where managerial activity is
largely characterised by piece-meal expediency and the
preservation of tribal boundaries what would be regarded as
gross inefficiency and a loss of management control in more
effective organisations comes to be accepted as a necessity
to self preservation. Wasteful in-fighting and both inter and
intra-group conflicts become, necessarily, institutionalised
norms which impair, considerably, task performance.

It is such wasteful practices that M.B.O. seeks to
remove or reduce by defining the personal accountabilities of
managers, relating them to those of other managers and, in
turn, to corporate objectives. To these ends it requires of
executives and managers, throughout the organisation, from the
top downwards that they work through the following questions
with both their superiors and subordinates -

    i)   What specific results should we be attaining
           - both currently and within agreed time scales
           in the future?

ii)   What are we actually achieving?

iii)   Are current objectives and achievements
sufficient - both for immediate needs and in
order to attain future growth objectives?

iv)   Are current quantitative and qualitative
criteria of efficiency/excellence valid?

v)   What, precisely, are the obstacles, deficiencies
and limitations that prevent or restrict
requisite levels of performance?

vi)   What exactly must be done and who, specifically,
is accountable for taking the action necessary
to eliminate/reduce such constraints upon the
achievement of required end-results?

Where M.B.O. is working effectively and is felt to be an
appropriate style of managing by executives and specialists,
managerial behaviour appears to be characterised by increased
levels of frankness and the pervasive climate becomes one of
constructive dissatisfaction with the status quo. The work of
Humble(36), Odiorne(37) and the findings of Kay, Meyer and
French at G.E.(38) which suggests that effective M.B.O. styles
of managing are likely to result in more positive managerial
attitudes and behaviour are borne out by the extremely

favourable responses to the questionnaire and interviews at Plant 'A'(39). Over 92% were strongly in favour of M.B.O. and of that percentage more than half commented on the increased frankness in exchanges between superiors and subordinates. Typical of the statements made were -

'Previously I was never told if I'd done anything wrong - people just talked about me behind my back. Now my boss is forced to tell me and we get on better as a result'.

'It's helped to cut down the amount of dirt that gets swept under the carpet'.

'Target setting has made my chief and I more honest with each other and brought home to us the need to be honest'.

'I'm completely hooked on the idea. It's logical, clear-cut and helpful and makes us communicate with one another instead of talking at each other'.

The remaining eight percent were concentrated in one large function where there had been a history of mistrust and over-competitiveness reflected in the unwillingness of the senior manager in charge to commit himself to decisions.

Comments on M.B.O. from him and his three immediate subordinate managers were -

'My people are very suspicious. They're not very
enthusiastic about what they see as a 'do-it-yourself hangman's
kit'. There's a lot of pressure in this department'. (The
executive in charge of the function).

From those who reported directly to him -

'Although we've got M.B.O., we can't get a bloody
decision out of him. We've really got management by committee
in our department'.

'M.B.O. and appraisal are struggling in this department
because of the lack of response from people. Personally, I
can't see much value in it because we're just not committed'.

'We're not really sure of the purpose and we're not
convinced it's much use, though I admit, we're way behind the
other departments here where M.B.O. and appraisal are concerned'.

(The suspicion, hostility and generally negative attitudes
reflected and, in turn, reinforced by the lack of clearness
and understanding in the department over the purpose of M.B.O.
and appraisal, correlate closely with Stewart's findings on
appraisal(40). Examining appraisal practices in two large and
dissimilar organisations Rosemary Stewart concluded that -

i)   A major concern among subordinates and cause
of suspicion and resentment was confusion
over the purpose of appraisal.

ii)   Generally, far more superiors than subordinates
believed appraisals to be useful.

In all other functions and departments M.B.O. had
evolved 'organically' and become institutionalised as a way of
managing, with the result that the one department which does
not conform has tended to be used as an organisation 'waste
basket' into which the remainder project blame, confusion and
conflict. The department that is out of step provides too
important a service to be by-passed, hence its current role of
whipping-boy into which it has been largely cast by middle
management levels from other functions. Evidence from discussions
with both managers in the department concerned and heads of
other functions indicate that the problem of conformity is
likely to be lessened when individual work objectives and
areas of accountability within the department are more
precisely defined than they are at present.

The suggestion, following the survey and discussions with
respondents, that task performance within the department needs
to be re-defined and expressed in terms of 'work specifications'
is to be taken up jointly by the personnel function and the
department concerned. By doing this, the terms 'key result

area' and 'key task', common to the M.B.O. job descriptions
currently in use, will be translated into 'specifications of
requisite levels of performance', which are more directly
related to the concepts and criteria of qualitative excellence
peculiar to the department. Each task will then be re-slated
as a series of personal accountabilities for each individual,
thus - 'This task will be satisfactorily performed when the
following conditions exist ....'

2.2. Some of the Realities of M.B.O.

Much of the success of M.B.O. appears to depend upon the
extent to which, as Wickens(41) indicates, the motivation of
managers to achieve objectives or standards is strengthened
by active participation in setting them. If one accepts the
significance of the basic need to achieve in man, postulated
by Maslow(42) and developed by Argyris(43) as 'self-actualising
man', then perhaps the extent to which M.B.O. is allowed to
operate as a participative style of managing is, in fact, a
principal determinant of its potential effectiveness. Indeed,
the prevalent belief within the department where M.B.O. and
appraisal did not work was that - 'We're different, of course'.
There was, too, considerable evidence to suggest that, from
the top of the function downwards, rather too many targets or
objectives were set by conditions and circumstances than by the
managers themselves. The initial failure of the department to
meet what have subsequently proved to be inappropriately

quantified targets, during the early stages of M.B.O.,
contrasted with successes in other functions made for an
increased level of frustration where there were already poor
working relationships and hostility. Evidence suggests that
the members of the department failed to select the most
relevant criteria from the outset and, under pressure, lost
sight of the need to operate what Milne(44) has defined as
'necessary strategies for the possible', as opposed to
desirable, but unrealistic and unattainable goals. Moreover,
where relationships are characterised by overt competitiveness
and aggression, the reluctance to put one's leadership skills
to the test in such an exposing situation as an appraisal
interview is likely to reduce the occasions on which such
confrontations take place and severely confine the extent of
frankness. Under such conditions, appraisals are more likely
to become carping monologues, or what Paterson(45) terms
'Conversations in parallel' where both parties talk and neither
listens, rather than the constructive dialogues necessary to
provide a basis for working agreements between a manager and
his subordinate. What is more, the reluctance to appraise and
discuss performance experienced by Rowe(46)* in her research into
appraisal is not always merely a rationalisation of the fear of
confrontation - it is a direct reflection of the frustration
and sense of futility experienced as a result of largely waste-
ful meetings where each tries to exhonerate himself at the
expense of the other.

* See Appendix II

Experience in defining and agreeing work targets, the supporting action necessary for the job-holder to achieve them and discussions in depth with over a hundred managers on the effectiveness of M.B.O., within TI, indicate that success or failure is largely determined by -

i) The attitude and level of perceived commitment of the chief executive of the company. i.e. the MD needs to be explicit to the point of declaring publicly - 'This is the way we are going to run this company' and you and I are answerable for doing so'. (In two major units within TI M.B.O. failed largely by being introduced at mid-management levels with the overt approval but without the commitment of the chief executive and boards of those units).

ii) The need to recognise the disparity which exists between the concepts and ideals upon which M.B.O. and, in particular, appraisal are based and the actual managerial styles which constitute the 'culture' of the organisation.

iii) The extent to which such an approach becomes integrated and institutionalised as a style of managing, rather than superimposed as a technique upon traditional patterns of managerial behaviour.

Where it remains secondary to the primary task
of managing for results it may exist for a time
as mere artifice, grudgingly sanctioned by
managers until such time as they can adapt or
reject it on the rationalised grounds that -
'it's alright in theory, but it just doesn't
work in practice'. It may even be operated as
a form of luxury-style managing to be abandoned
whenever a major crisis arises and re-instated
once the pressure lessens and management again
feels itself to be in control. (In two companies
where M.B.O. appears to have been perceived as
something distinct and divorced from the process
of defining and achieving results one manager
admitted that it was twenty months since his
'current' performance had been discussed with
him, whilst in another the chief executive stated
that they had abandoned M.B.O. because they had
fallen behind with a contract worth over
£1,000,000).

iv)   The recognition and acceptance by managers that
many techniques of control, particularly those
that seek to monitor and measure human effort do
not provide consistently precise and infallible
answers. Evidence from discussions with managers
suggests that there is a tendency in management

to over simplify and tidy up the realities of human behaviour and to rely, hopefully, upon techniques in order to achieve positive results where motivation, effort and accomplishment are concerned, i.e. technique is looked to as a means of avoiding the fundamental tasks of trying to understand and manage people. M.B.O. is not a device for providing solutions - it is intended primarily as an ordered means of providing opportunities where both thinking and action can be regularly reviewed, challenged and put to the test.

v)   The extent to which appropriate follow-up action is taken to maintain the initial momentum of the approach. Manifestly, this is an indication of the sustained commitment of top management, particularly where specific individuals are charged with maintaining and developing the system.

The strengths and weaknesses of M.B.O. and some of the reactions to it quoted above, from within TI, relate closely in part to examinations of M.B.O. carried out in this country by Wickens(47) and Tosi and Carroll(48) as well as those recently undertaken in the States by Levinson(49). Wickens' point that, in unit and batch production where, because of frequent programme changes managers are usually only able to plan a short way ahead,

the setting and achievement of objectives is largely dependent
upon the cooperation of others, is borne out repeatedly within
TI. Tosi and Carroll found that where performance targets were
defined success in achieving them was related significantly
(correlations in brackets) to -

    i)   Time devoted to M.B.O. by the job holder's
          superior   (0.47).

    ii)   Organisational support and commitment to
          M.B.O.   (0.21).

    iii)   The amount of perceived subordinate
          participation   (0.46).

    iv)   The job holder's satisfaction with his
          superior   (0.39).

These findings correlate closely with the experience and
perceived attitudes at Plant 'A' where only one department was
dissatisfied with M.B.O. Moreover, at Plant 'A' the ambiguity
of priorities and negatively authoritarian leader activity,
within that particular department, were also identified by Tosi
and Carroll as being adverse influences upon the success of
M.B.O. styles of managing. Wickens, on the other hand, makes
the interesting observation (also substantiated within TI) that
positively authoritarian styles of managing may also disrupt an

M.B.O. approach and fail to provide the support needed by others, but nevertheless may well both lead to high achievement and satisfy the emotional needs of dependent subordinates within that particular manager's department. Levinson, commenting on the problems inherent in striving for objectivity in target-setting and appraisal, states(50) -

'A man may do an excellent job by objective standards of measurement, but may fail miserably as a partner, subordinate, superior or colleague .... Furthermore, since every subordinate is a component of his superior's efforts to achieve his own goals, he will inevitably be appraised on how well he works with his superior and helps the latter meet his needs. A heavy subjective element necessarily enters into every appraisal and goal setting experience.

The plea for objectivity is vain for another reason. The greater the emphasis on measurement and quantification, the more likely the subtle, non measurable elements of the task will be sacrificed. Quality of performance frequently, therefore, loses out to quantification'.

At Plant 'A' targets are set and performance is appraised jointly by the job holder and his chief. The documents on which decisions are made are then passed to the appraiser's chief who states what action he feels he and the appraiser must take to help the appraisee. Such a three-tier system generally means

that Levinson's objections to the current preoccupation with objectivity do not apply. However, discussions with managers and specialists in other plants operating M.B.O. or target-based appraisals within TI indicate that where assessments are confined to the paired relationship Levinson's observations do apply - perhaps in as many as 25% of the assessments that take place. Most of these, however, are not followed up by discussions of the appraisal between the appraiser and the job holder whose performance is under review. To-date, little pressure is put on these managers to communicate the results of their appraisals to their subordinates, except in Plant 'A'.

There is, too, considerable evidence within TI to suggest that the main problem has not necessarily been excessive emphasis on objectivity, but rather a failure to identify and examine, with <u>sufficient</u> objectivity, the significance of the many inter-personal and organisational variables in task perfor-mance and their influence upon the qualitative, as well as quantitative, aspects of achieving results.

2.3. M.B.O. - Style Job Descriptions as an Objective Basis to Appraisal

The growing influence of M.B.O. upon managerial practices, particularly performance appraisal has tended to reinforce the view of McGregor(51), Rowe(52) and Humble(53) that appraisal cannot be viewed in isolation as it has sometimes been regarded in more traditional patterns of managing. Where management-by-

objectives is operating effectively as a style of managing
evolving and institutionalising new norms of managerial
behaviour it becomes increasingly difficult to separate M.B.O.
from appraisal. At Plant 'A', further evidence of this inte-
gration was apparent from the extent to which (about 60% of
respondents) were no longer able to differentiate between
occasions of formal appraisal and informal frequent reviews of
performance, e.g. -

'We believe you cannot review performance successfully
at prescribed intervals. My chief and I review work whenever
necessary - which means almost a continuous appraisal'.

'We've got the basis of a really good system(M.B.O.)
here. It runs itself and we only hold formal appraisals in
order to determine salary increases - not to discuss performance'.

Discussions with senior personnel staff and line managers
at Unilever, GKN, IBM, and Shell within the UK and at the NHKG
Steel Works in Czechoslovakia all indicate that similar trends
are also becoming apparent in those companies. Levinson(54),
writing in the States, similarly, suggests that, fundamentally,
appraisal and M.B.O. are almost indistinguishable and for
practical purposes should be considered together as one practice,
which is intended, inter alia -

    i)   To clarify and agree the job to be done and
           the expectations of accomplishment.

ii)   To relate individual performance to organisational
goals.

iii)   To enhance communications between superior and
subordinate.

iv)   To measure and judge performance.

v)   To serve as a device (sic) for organisational
control and integration.

I would add -

vi)   To _improve_ performance as a result of conscious,
specific action for which individual managers
have been made accountable.

Current thinking and practice suggest that there are
basically five steps to the 'ideal' process -

i)   Discussion with his superior of the subordinate's
job description and agreement of the principal
end-results which the job is set up to achieve.

ii)   Establishment of specific, short-term targets,
related to time scales for completion and, where
appropriate, relevant standards of performance.

iii)   Re-affirmation and review of the checks and
       controls necessary to ensure optimum operating
       conditions.

iv)   Subsequent meetings between the job holder and
       his boss to monitor progress.

v)   A joint appraisal by the job holder, and his
       superior, at the end of an agreed period, to
       assess the achievement of results and to determine
       the causes of any shortfalls in performance so
       that the necessary corrective action may be taken.

The rationale of the process cannot really be gainsaid,
but it does highlight the crucial importance of both task
objectives and the job description since these represent the
agreed basis to expectations of achievement. Moreover, they are
the major yardsticks against which an individual's performance
may be measured objectively. However, a fundamental paradox
which so often escapes the many writers of managerial job
descriptions is that they are essentially static, whereas working
to attain objectives is a dynamic process. Many such documents
are still written up largely in terms of STANDARDS OF PERFORMANCE
- or, even more inappropriately - as lists of DUTIES. Standards
of performance, as defined by Miller(55) are - 'the conditions
that will be present when a job is well done' and are, of themselves,
basically static whereas objectives represent - 'a desired

improvement in results .... for accomplishment in a
specified time period'. Duties, per se, require to be expressed
as personal accountabilities before they can be considered to
be a valid basis for fulfilling obligation and measuring
performance. Moreover, the term does not convey the connotation
of interdependent effort which, increasingly, is becoming a
principal feature of managerial activity and which necessarily
demands clarification of the boundaries of authority and
responsibility between one manager and another.

The growing body of knowledge and experience within TI and
many other organisations - some not necessarily industrial(56)
- suggests that there is no universally applicable style of
managerial job description. However, the basic information,
needed to agree, appraise and improve performance and which should
be agreed by the job holder and the manager to whom he is
directly accountable, must include -

i)   THE BASIC PURPOSE OF THE JOB:
        (i.e. a succinct statement of the reason why
        this particular job exists).

ii)   THE NATURE AND SCOPE OF THE JOB:
        (which is best written up in a narrative style
        to develop a continuity of theme and to put the
        job clearly into its organisation context. This
        includes -

a) The financial and physical 'size' of the job, e.g. budget, number of subordinates.

b) To whom the job holder reports.

c) Significance of work and organisational relationships with superiors, peers and subordinates.

d) The major challenges or problems inherent in the role.

e) The constraints which may limit the job holder's personal impact in his role.

f) The scope for personal discretion to deal with specific and major issues, i.e. controls and limits.

g) The scope for innovation and improvement).

iii) THE PRINCIPAL ACCOUNTABILITIES:

(i.e. The overall end-results the job has been set up to achieve. By definition, principal accountabilities are those areas where effective performance reflects the true significance of the job to the attainment of departmental objectives and, ultimately, those of the company as a whole.

A positive contribution in these key result areas
of a manager's job is most likely to enhance his
personal impact upon either the profitability or
effective operation of the company. Conversely,
it is in these areas, that inadequate performance
is likely to have the most adverse effects upon
the operational efficiency of his organisation.
Necessarily, principal accountabilities need to
be expressed as a series of desired job objectives).

Such an approach to producing a manager's job description
may require up to two full days for completion and final agree-
ment before the document can be claimed to represent the end-
results of the job accurately and realistically. (Please see
Appendix III). Even so, what the document represents is still
largely static or, at best, evolutionary in the long term. In
order to portray the dynamic reality of the manager's job, the
basic purpose and principal accountabilities must be periodically
re-stated as specific and detailed, short-term targets and drawn
up as current PRIORITY or ACTION PLANS. Diagrammatically, the
logical and progressive refinement of the basic purpose, principal
accountabilities and specific job targets of a manager's job,
using this approach, looks like this -

'Strategy'
of the job.

BASIC PURPOSE

Job Description

(Largely static,
overall job objectives).

Day-to-
day
reality

PRINCIPAL ACCOUNTABILITIES

(Key Result Areas)

Current Action or
Priority Plan

(Dynamic and
detailed task
objectives).

SHORT-TERM, SPECIFIC TARGETS

(Key Tasks)
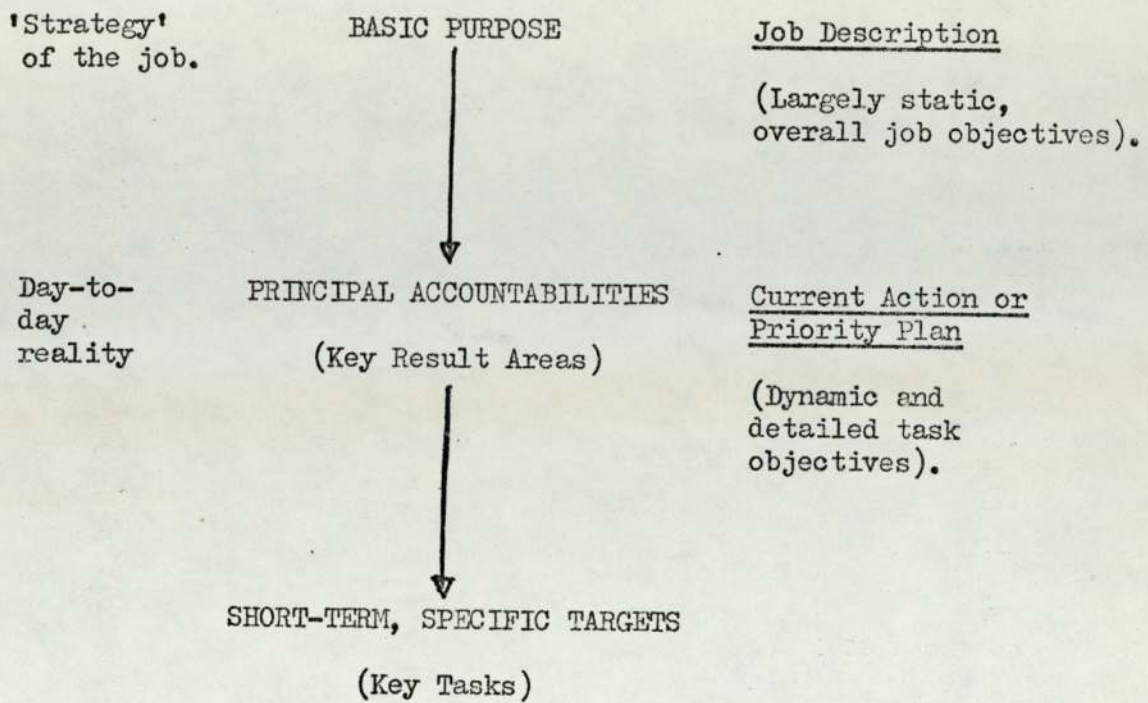
Typical Principal Accountabilities of managerial jobs,
taken at random, are -

i)   Maintain agreed levels of output and quality.

ii)   Develop and control an organisation structure
        capable of achieving effectively the work
        objectives assigned to it.

iii)   Review regularly the performance of subordinates
        against programmes, standards and objectives.

iv)   Train and develop subordinates in order that
        they may contribute to the limits of their
        capacity and according to the demands of their
        roles.

v)   Ensure that the purchasing requirements of the
        company are always fully met.

Similarly taken at random, typical specific and short-term
targets, with time limits included are -

i)   Introduce and begin operating a revised method
        of yield reporting by the end of January.

ii)   Submit detailed proposals for the modernisation
        of No. 2 Seamless Mill by week ending 28th
        February.

iii)   Ensure that new preferred size ranges in metric
        dimensions are agreed by mid March.

iv)   Ensure that Thomas and Farrell are fully
        conversant with the materials clauses and
        tolerances of B.S.S. 806,1387,1775 and 1986 prior
        to joining Sales Department week ending 10th June.

v)   Achieve departmental cost reduction target of
        £23,000 by the end of August.

There are many opponents to the M.B.O.-style job description
who feel that it is too mechanistic and restrictive of initiative.
Levinson(57) says -

i)   'The higher a man rises in an organisation and the more varied and subtle his work, the more difficult it is to pin down objectives that represent more than a fraction of his effort'.

ii)   'With pre-established goals and descriptions, little weight can be given to the areas of discretions open to the individual but not incorporated into his job description or objectives'.

Following discussions with respondents and other managers my conclusions run directly counter to Levinson's first point. The overwhelming concensus of opinion is that the higher a man goes in an organisation the more imperative it becomes for him to define his objectives accurately. Moreover, such precision in definition does not constrain, but emphasises the areas where maximum effort must be concentrated. Urwick Orr's extensive consultancy experience in M.B.O.(58) also contradicts the second half of the first of Levinon's conclusions in that they find 15% - 25% of the time spent by managers and directors results in 75% - 90% of their most important contribution to the company. As Humble(59) suggests, job descriptions for managers might, more appropriately, be described as - 'Management Job Guides' so that implicitly they are necessarily subject to regular review themselves in order that they may be kept up to date. Our experience also contradicts Levinson's second assertion, i.e. the

'what' and 'why' of the manager's job are more precisely
defined for him the 'how' is what he is largely paid for.
Diametrically opposed to Levinson's belief, our experience was
that at Plant 'A' approximately 10% of managers found the
sudden recognition of the real extent of their freedom to act
and accountability for using their discretion, something of a
source of anxiety for the first few months. As Valentine(60)
states -- 'Objectives measure the results of his efforts, not
his way of doing business. Thus he has freedom of action
which he should recognise as a vote of confidence in his ability'.
Evidence from the Glacier Institute of Management(61) similarly
indicates consistent success in determining the boundaries to the
discretionary areas of managerial jobs in both vertical and
collateral relationships. The work of Jaques(62) which forms
the basis of much of the Glacier thinking stresses the fundamental
importance of the relationship between the extent of discretion
a manager is expected to exercise and his capacity for making
such decisions. The right and accountability to exercise dis-
cretion presuppose requisite levels of both competence and
authority. If a manager feels he is lacking in either, or both,
he may perceive his accountabilities to be threats, rather than
challenges. The job description and current action plan should
provide the objective measure of requisite levels of performance
in the discreet areas of his job agreed by and expected of the
job holder. The performance appraisal interview provides an
occasion where the job holder and his superior may create
opportunities to talk out such problems, where a role is not seen
to be viable or where there is felt to be a disparity between

an individual's capacity and the 'size' of the job he is
doing.

Management-by-objectives, more than traditional approaches
to managing, encourages managers to examine departmental and
inter-functional performance as well as that of individuals.
A frequently expressed view in Plant 'A' and in several other
units within TI is that it is becoming more important to
appraise managers' performance in terms of the extent to which
they contribute positively to the work of others. Conversely,
experience within TI shows that the degree of organisational
support given a manager, the viability of his role in the light
of current philosophy, policies and practices and the influence
of informal groupings are factors which demand far closer
examination as important influences upon an individual's effective-
ness as a manager. Experience(63) has demonstrated the need to
distinguish between the manifest, assumed and extant organisation
of companies. The analyses preceding the agreement of M.B.O.
style job descriptions, which place high emphasis upon defining
the extent of personal authority and accountability of the
individual and so clarify for him the boundaries and interface
areas of his role, have done much to highlight the considerable
discrepancies between organisation charts and reality. In Plant
'B' where the initial impact of M.B.O. has not been sustained
through an abortive introduction and inadequate follow-up,
the initial systematic and formalised approach to defining and
coordinating work objectives has done much to penetrate and even
erode away the boundaries surrounding enclaves which have long

been at variance with the more progressive and effective parts
of the company. Moreover, as job descriptions evolved and as
inter departmental and inter personal accountabilities were
defined and agreed, it became possible to rationalise the
management structure and reduce it, in some functions, by up
to two levels of manager. In perhaps as many as six major units
in TI the development of 'accountability' job descriptions and
appraisals of performance, using the job description as a
basis, have undoubtedly resulted in a clear understanding of
the significance of organisational anomalies as constraints and
of a more realistic appreciation of what the requisite organisational
structure should be. Wickens(64) suggests that evolution in
organisational structure, as a result of the introduction of
M.B.O., is likely to be perceived as arising out of a need for
'necessary cooperation' rather than as conscious 'reorganisation'.
The experience at Plant 'A' would seem to bear this out, but 10%
of the respondents made quite categorical statements on their
questionnaires, or during the subsequent interview, that they
would like to see cooperation put on a formalised and more
'controlled' basis e.g. -

'It's so informal you don't really realise that it's
happening and I'd welcome the opportunity for much more
formal exchanges occasionally'.

'Undoubtedly cooperation has improved, but without the
sense of occasion that you get with formal reviews the
fundamentals sometimes get overlooked'.

This latter point to some extent, bears out Leasby's claim for systematic formalised procedures(65) that -

'The great value of formal procedure ..... is in the raising and broadening of important issues that are liable otherwise to be inadequately considered'.

Performance objectives are not a cure-all but, as Valentine(66) states, they probably represent the most effective technique yet developed for measuring managers' job performance. A major danger with M.B.O., however, which has become apparent in some units of TI is a preoccupation with results in the short term. As one manager put it - 'We have frequent reviews of performance, but they probably occur too often for us to stand back and look at where we're really supposed to be going'. Bryan (67) has suggested that the standards, norms and appraisals enshrined in M.B.O. tend to encourage what he has termed 'suboptimisation' - a situation whereby long-term organisational goals tend to become forfeit to the individual's personal short term accountabilities. The high enthusiasm in Plant 'A' and widespread initial keenness experienced in several other TI units which adopted M.B.O. suggests, interviews with managers, that a significant number found management-by-objectives as a means of satisfying ego and achievement needs. Indirectly, this point is reinforced by Drucker(68) who stated - 'It (M.B.O.) motivates the manager to action, not because someone tells him to do something, but because the objective needs of the task

demand it'. Gill and Molander(69) make the point of which we
also have some evidence that, where key results are not readily
quantifiable, for instance in the area of inter personal relation-
ships, managers tend to concentrate on, and give priority to,
the quantifiable aspects of their jobs. The evidence thus
seems to indicate the need for an appraisal of a manager's
effectiveness in TWO complementary areas where it is possible
to achieve an <u>objective measure</u> of his performance -

    i)   The degree to which he meets his specific,
            short term objectives.

    ii)   The extent to which, in achieving (i) above,
            he fulfils the overall and, necessarily, long-
            term principal accountabilities of his job.
            (See rationale of currently evolving TI
            M.B.O.-style managerial job description on
            page 59 where short term objectives are
            consciously related to, if not always derived
            from, the job holder's agreed principal
            accountabilities).

2.4. Summary to Section 2.

The evidence within TI seems, conclusively, to suggest
that there is both a growing concern to assess performance in
terms of achievement, against expectation, as well as an

increasing ability to measure personal attainments more
objectively. However, there is also an emerging awareness that
approaches to M.B.O. currently operating within TI do not
actively encourage an appraisal of the perceived attitudes,
behaviour and personal development needs of managers. Thus,
in addition to appraising the accomplishment of results in the
two objectively measurable areas referred to in (i) and (ii)
above, it would seem that the necessary appraisal of a manager's
TOTAL CURRENT EFFECTIVENESS WITHIN THE ROLE also presupposes
a third, largely subjective assessment of the individual's
behaviour within the areas prescribed by Van Lennop(70) and
Munro Fraser(71) inter alia, as well as a preparedness to
examine the traditionally socially 'taboo' areas such as the
relationship between appraiser and appraisee. As the results
of the surveys appear to indicate, M.B.O. and M.B.O.-style
appraisals, based upon a measure of results attained, have
increased the extent to which managers are prepared to discuss
performance in objective, realistic terms within certain depart-
ments and companies. However, a significant proportion of
responses in other units indicates that where M.B.O. is used as
a means of providing more power to the elbow of the extreme
autocrat and serves to legitimise coercive managerial behaviour
it appears to increase both the preoccupation with attaining
short term goals and the search for alibis when targets are not
met. The surveys also suggest that managers from the companies
using the style of job description outlined on page 56, which seek
to agree, from the outset, extent of support the job holder

requires in order to achieve his targets, tend to be less
defensive and less inclined to look for excuses. Moreover,
the respondents from those companies showed a considerably
higher level of frankness and degree of satisfaction with
performance appraisal. Obviously, other relevant variables
need to be considered before valid conclusions can be drawn for,
as Woodward's earlier research showed(72), factors such as
manufacturing technologies and type of production can be major
determinants in the degree to which managements are generally
permissive or autocratic. For example, Woodward found that
in companies engaged in unit and process production, there were
usually more participative styles of management and a greater
degree of delegation. In companies committed to large batch
and mass production methods there was generally greater evidence
of authoritarianism in prevalent managerial behaviour. It would
seem, too, that the conditions of 'organismic' and 'mechanistic'
organisation postulated by Burns and Stalker(72) which arise,
in part, out of the technological influences in a company and
which both demand and foster disparate styles of managing, in
the main, substantiate Woodward's conclusions.

Futhermore, Woodward found that the planning and control
processes varied, as did the time cycles involved, e.g. large
batch and mass production require longer term production
schedules and patterns of stock control, and there is often less
interdependence between production and functional departments.
In companies where production is largely unit or small batch in

nature, planning and control tend to be more complex, while close, continuous contact is necessary, emphasising the need for greater mutual support and interdependence. Thus, in the latter environment, an individual's achievement of his own work objectives is likely to be much more dependent upon and influenced by support from managers and specialists in other functions than in large mass production companies. Moreover, under such conditions, M.B.O. is likely to be effective only where long term objectives are defined within comparatively broad tolerances and short term objectives are given considerable flexibility. Both may need to be reviewed and revised frequently, but as and when needs demand, rather than at regularly set intervals.

It would seem, therefore, that M.B.O. encourages the objective appraisal of managerial performance by providing valid, quantitative and qualitative criteria against which managers may be assessed. Its motivational potential would seem to be enormous, particularly if the managerial styles which constitute the culture of an organisation are largely participative and conducive to the individual's needs for self-actualisation and fulfilment. As a way of managing an organisation it would seem to have an almost universal application, provided that the organisational, planning and control implications of its implementation are fully recognised. After all, managing by objectives is no more than effective managers have always sought to do(73).

3.   TRAINING IN PERFORMANCE APPRAISAL AND COUNSELLING

3.1. Scope, Significance and Problems, to date, of training in Appraisal Counselling

As a necessary preliminary to improving performance, career development and succession planning, performance appraisal was felt by the chairman and Board of TI to occupy a crucial role. In 1967, the central personnel function was charged with the task of establishing the degree to which directors and managers might be trained in performance appraisal and counselling. A survey of the problem was carried out over a period of four months using the following investigatory methods -

i)   Discussions in depth with personnel managers responsible for operating appraisal 'systems' and planning management development and succession.

ii)   Discussions with managers in companies with appraisal schemes and who periodically found themselves alternately in the roles of both appraiser and appraisee.

iii)   Examination of appraisal forms completed in various TI Companies in order to identify both comments on performance and proposals made by appraisers for improving the performance of appraisees.

iv)   Discussions with managers in companies which had no formalised schemes of appraisal whatsoever but who occupied the roles of both superior and subordinate to other managers.

v)   Discussions with members of both companies outside the TI Group and of various national, professional, educational and research institutions including -

Companies	External Bodies
G.K.N.	Engineering Industry Training Board
I.B.M.	Iron and Steel Industry Training Board
Unilever	Construction Industry Training Board
Joseph Lucas	Wool, Jute and Flax Industry Training Board
I.M.I.	British Institute of Management
Shell	Institute of Personnel Management
Esso	M.S.L.
B.O.A.C.	Urwick Orr & Partners
Rediffusion	University of Aston in Birmingham
Rootes Motors	London Business School
B.M.C.	C.R.A.C.
B.A.C.	M.A.N.T.R.A.
Plessey	Tavistock Institute of Human Relations

vi)   Review of the then extant literature and research
        into appraisal and 'limited social interaction'
        situations.

The surveys both within the TI Group and in outside companies,
with few exceptions, generally substantiated Rowe's findings(74).
i.e.

a)   Managers were reluctant to appraise.

b)   Managers were even more reluctant to follow up
        appraisals by counselling interviews.

c)   Comments on those appraisal forms that were
        completed were usually glib, stereotyped and
        provided little or no basis for improving
        performance or developing potential.

Where sound appraisal practices were in evidence they had
generally evolved on an empirical basis, or as a result of the
introduction of management-by-objectives. Several of the national,
professional and academic bodies had developed conceptual
approaches to appraisal of varying levels of sophistication and
abstraction but no one, apart from I.B.M., had any direct
experience of training managers in appraisal and counselling.

The evidence from the survey confirmed the view of members
of the central personnel department, who were fundamentally

influenced by their considerable experience of group dynamics
with Tavistock, that the emphasis in the training to be under-
taken must be upon learning, rather than teaching. In other
words, the teaching of interviewing techniques, which are suited
to develop skills in selection interviewing is largely
inappropriate as a method of enhancing the social perception
necessary in appraisal counselling. Social interaction in an
appraisal interview was considered to be task behaviour and as
such was considered, as Kelman(75) states, to be learned by means
of 'internalisation' rather than merely by indentification and
compliance. Furthermore, the group dynamics based work of
Bion(76) and Rice(77), inter alia which was already familiar to
the Department suggests that behavioural changes - i.e. internalised
learning - take place largely as the result of insight and 'felt
experience'. Thus, any behavioural changes which could be hoped
for on a short course would be likely to result from -

i)   Enhanced social awareness, akin to what Etzioni(78)
        has termed - 'normative compliance'.

ii)   Increased inter-personal competence which is a
        manifestation of (i) above.

- as opposed to dispositional chances which are quite outwith
the scope of any training course, even where the philosophy and
techniques of sensitivity training are largely being used.

Experience at Woodbourne Grange, the TI Residential
Management Training Centre, has frequently shown that a manifest
intellectual appreciation of concepts and a capacity to articulate
inter-personal behaviour in a priori terms is not necessarily
indicative of internalised learning. In other words, the ability
to intellectualise and verbalise about behaviour is not, of
itself, sufficient evidence that learning has taken place at the
more fundamental emotional and even sub-conscious levels,
necessary to bring about requisite or adaptive behaviour. Because
of the extent to which inter-personal competence seems to be a
major determinant in the effectiveness of performance appraisal
interviews it was felt that the seminars should be highly
participative throughout the three days of their duration. Further-
more, it seemed appropriate to evolve largely heuristic learning
situations, whereby delegates could discover, for themselves,
what principles and 'laws' appear to be most important in
confrontation and social interaction situations, such as appraisal
and counselling interviews. To this end, the seminars were
structured around the following learning experiences -

    i)   Short talk and discussion on the aims, scope and
              significance of performance appraisal.

    ii)   Role-play appraisal interview case studies, using
              closed circuit TV and video tape recorders.

iii)   Syndicate study groups evolving both job
        descriptions and appraisal forms.

iv)   Free ranging group discussions on the major
        problem areas in appraisal and counselling.

To date, twenty seminars have been run and 308 directors
and managers have attended.   In addition, four in-plant seminars
have been designed and run for individual companies, attended by
a further 81 executives from senior, middle and junior management
levels.   Though the content and presentation of both residential
and in-plant seminars have evolved and been refined during the
three years they have been running, the basic objectives have
remained those of providing managers with opportunities to --

i)   Explore and put into perspective some of the
        problems inherent in performance appraisal.

ii)   Develop an increased awareness of the social
        skills necessary within face-to-face confron-
        tations where there is likely to be considerable
        stress.

iii)   Re-affirm the importance of their own role, as
        managers, in appraising and counselling their
        subordinates.

Because of the heuristic nature of the learning experiences on the appraisal seminars reactions to them and the degree to which people feel they have been of benefit have largely tended to polarise. As Schein and Bennis indicate(79) the problem facing the training staff who conduct training courses aimed at helping people to learn more about the behavioural processes - particularly their own - is that of distinguishing between the norms that concern how people learn and those involved in what should be learned. Genuine collaboration is undoubtedly required in order to maximise what should be learned, but the variables involved in what is basically both intellectual and, more importantly, emotional collaboration, are many and formidable. Collaboration to maximise learning about behaviour especially one's own interpersonal competence in socially stressful situations presupposes, amongst other factors, that -

i)   The learning goals of the seminar are meaningful to the individual in terms of the interpersonal and group problems which he experiences in his work environment.

ii)   The individual is attending the seminar largely of his own free will and, therefore, does not see what may be a rather painful experience as he begins to get feedback on his performance from both tutors and his fellow delegates as some form of 'punishment' contrived by his superiors.

iii)   The individual's social adjustment is sufficiently
mature to enable him both to give and receive
feedback which reflects the reality of his
relationships with his fellows and which is a
necessary precondition for him to learn about
himself and other people.

Whereas point (i) above is largely a matter of how the
individual interprets his work situation and what he perceives
to be the prinipal problems involved in improving performance,
point (iii) is concerned with what Paterson(80) describes as an
individual's 'model of man'. Basically, the individual's social
attitudes and interpersonal competence are influenced significantly
by the assumptions he holds about people. For example to use
McGregor's concepts(81) a manager's basic assumptions about his
fellows might be predominantly 'theory X' or, conversely, largely
a 'theory Y' model. Furthermore, the extent of his social
maturity will determine the degree to which he can tolerate
situations where he encounters social and behavioural norms which
conflict with those upon which his own personal value system is
constructed. For example, an intolerant, highly authoritarian
('theory X') individual may learn little or nothing and so fail
to modify his behaviour, where he finds himself in what may be a
predominantly permissive and participative ('theory Y') seminar.
This is not to suggest that the proponents of 'theory X' styles
of managing are automatically immune to influence from 'theory Y'
managers but, where the conflict is based upon significant issues,
the fundamental disparity of the norms involved may prevent any

real learning from taking place. The more likely reaction is
one of a positive re-affirmation and reinforcement of the
individual's existing norms, beliefs and expectations, with a
commensurately stronger rejection of those values and standards
which are perceived to be in conflict with his own scheme.
Moreover, defensive behaviour, characterised both by increased
emotionalism, the impairment of rational thought and a marked
deterioration in the individual's capacity for internalised
learning may occur on highly participative courses not only out
of conflict, but also as a result of -

i) Fear of exposure in face-to-face situations where
delegates are, in a sense, testing one another
out and establishing the 'pecking orders' of the
course.

ii) The inability to operate at the requisite
conceptual levels and therefore a failure to
compete successfully with other, more effective
members of the course.

iii) The attempts of both individuals and groups on
the course to evolve and preserve a protective
or supportive 'culture' which frequently in the
guise of apparent task behaviour, is intended
primarily to meet people's security, social
and/or ego needs. What Bion(82) has termed 'basic
assumption' behaviour may adversely affect the

amount of real 'work', i.e. learning, as often
sub-conscious socio-emotional needs, find
expression in the more conscious levels of
activity, manifesting themselves as -

a)   'Fight/flight' whereby people may 'attack'
     the course, the teaching methods, the tutor
     and each other, or they may avoid the task
     facing the group by discussing other issues.

b)   'Dependency', where course members attempt
     to cast the directing staff in the role of
     conventional teachers, often hopefully
     ascribing them with the ability to provide
     'all the answers'. A frequently recurring
     feature of the appraisal seminars which, as
     was mentioned earlier, necessarily use
     heuristic learning methods is intense
     pressure from delegates for direct teaching
     in appraisal interviewing techniques. The
     danger of responding too fully to the demand
     is that, in what is so 'grey' and indeterminate
     an area of managerial activity, the individual
     is likely to abdicate his personal accounta-
     bility for experimenting and developing his
     own approach to the problems if he feels he
     is going to be given the answers. The
     evidence from the seminars run so far is that

as much as 75 - 80% of the group may
experience extreme difficulty in accepting
that theirs is the primary responsibility
for learning. The realisation that no
'packaged' answers are forthcoming may lead
the group back into a fight/flight situation
or result in the third usual manifestation
of deeply-rooted psychological needs, that
of pairing.

c) 'Pairing' occurs when one individual within
the group relates frequently and, usually,
consciously to another. In a sense, the
process is a largely compensatory one and
rarely does it result in effective task
performance. Rather, it leads usually to
task avoidance and may degenerate into
competing bids for the leadership of the
group from the two individuals who began as
a mutually supporting pair. The rest of the
group tends to collude in the pairing by
remaining largely silent waiting to see who
of the two will emerge as the eventual 'fight'
or 'flight' leader.

Thus, the evolving culture and prevailing norms of the group
may lead people away from what Rice(83) has called the 'primary

task' which, in the case of the seminars on appraisal, is to explore ways in which appraisal and counselling may be made more effective.

Below are two examples of basic assumption behaviour which occurred on recent seminars and which seriously interfered with the extent to which the group made the most of the learning opportunities available to it.

i)   On the one seminar, which consisted of one TI main board Director and fourteen middle/senior managers the deference shown to the Director and the tendency amongst some of the others to compete for his attention resulted in stereo- typed and very conservative behaviour. The course 'culture' became one of 'don't let's rock the boat' and 'surely reason will prevail' with the result that there was a great deal of reluctance to experiment in role play situations and confront people. The group avoided the task of raising and talking out the 'taboo' areas of appraisal, such as superior/subordinate relationships and so failed to explore the comparative significance of structural, sapiential and personal authority. Eventually the course tutor drew the group's attention to what appeared to be happening, in behavioural terms, within the group. The Director

commented to the effect that he had become aware of the rather ritualistic behaviour and had found himself reluctantly, but compulsively colluding with the charade.

ii) The second example occurred on a seminar where there was a strong reaction to the heuristic learning methods from one of the delegates who was also from the personnel function and who was strongly committed to direct teaching methods. The inevitable reluctance of many of the other delegates to take on the burden of learning for themselves became focussed and crystallised in the dissatisfaction with the seminar repeatedly expressed by the personnel manager. In a sense he became, alternately, the 'fight' and 'flight' leader of the seminar. When the tutor interpreted the situation to the group and talked through the problems of dependent teacher/pupil relationships and the risk of a closure of the learning process in such relationships, the rest of the delegates rejected the personnel manager's criticisms, dispensed with him as a leader and got down to the task of exploring problems in face-to-face appraisal.

In both the above examples of typical basic assumption behaviour which may interfere with internalised learning, the group

norms are transient and the group itself is a temporary one, constituted solely for the duration of the seminar. Thus, to use Kelman's terminology(84), what learning was taking place, before the tutor confronted the group, was largely either by identification or compliance and therefore was not internalised, since there was very little evidence of value-congruence between the majority of the delegates and the learning norms of the seminar. Furthermore, the response norms of the group may not necessarily reflect the values, standards and expectations which determine the behavioural and learning patterns of the delegates, as individuals, in their own normal work situations. In other words, the temporary but strong pressure of a learning group which seeks to avoid the task of learning and demands conformity of its members to the transient though prevailing norms is sufficiently powerful to induce compliant, negative behaviour from people who as, individuals, would probably express contrary views in a more supportive environment. Evidence from questionnaires completed by the delegates after the seminar, supports this assertion, as have follow-up discussions with people who showed both ambivalent and negative attitudes during the seminar. In some plants, attitudes expressed in questionnaires(85) have shown up to 20% more positive and favourable responses than were evident during the seminar. What is of concern, however, is that where compliant, as opposed to internalised, learning is taking place under the influence of strong negative behavioural norms there is likely to be <u>little transfer of learning</u> taking place once the individual has returned from the seminar and, therefore, no significant improvement in

the effectiveness of his appraisal and counselling and ultimately the performance of his subordinate.

3.2. Recent Research and Development into Training in Performance Appraisal and the Effects of that Training Within TI.

An attitude survey, using questionnaires, was carried out by the central personnel department into the effectiveness of sensitivity training within TI, using a sample of approximately 300 managers showed that 84% of the respondents were in favour of group dynamics and supported its retention on the two principal management courses run at Woodbourne Grange. Of this percentage, almost half articulated their impressions in such a way as to suggest that some valid transfer of learning had taken place, as the result of sensitivity training. The evidence from this particular survey (last year), feedback from follow-up questionnaires and interviews (see pages 98-109 with people who have attended the appraisal and counselling seminars, together with reactions and comments from delegates while on the seminars, all suggest that training which seeks to help people to improve their social skills is likely to be far more successful where the dynamics of interpersonal behaviour are explored and inter-preted as and when they occur. The belief that interpretation of the 'here and now' is a valid means of gaining a deeper insight into behavioural cause and effect is based upon the premise, already postulated in section 3.1., that learning about behaviour is not principally a matter of intellectual formulation,

but occurs largely as the result of emotional experiences which lead to a restructuring of the individual's concepts, beliefs and expectations.

Since sensitivity training was first developed at the National Training Laboratories in Bethel, Maine, in the mid-forties, it has been the centre of more controversy than any other method of learning. Odiorne(86) has referred to sensitivity training as - 'managerial narcissism' and described T-groups as - 'self-flagellation societies.' Fleischman's well known study at International Harvester, in the States(87) suggests that after the initial increased emphasis in human relations, immediately following sensitivity training, many of the supervisors not only reverted after a further period of several months but actually became less favourable to human relations. Probably the most important finding in Fleischman's study was that the reversion was greatest amongst those supervisors whose superiors were most strongly against human relations approaches. Thus, training that was basically strongly anti-organisational tended to have something of a boomerang effect which, as Smith and Moscow(88) state, 'more than wiped out the effect of the training.' Elliott(89) conducted attitude surveys, using control groups, in a British engineering company in the late 'fifties. The attitudes of two groups, matched for age, intelligence and job were measured in order to determine both supervisory and job attitudes. The members of one group had all experienced sensitivity training, while no one in the other group had been trained on such courses. On both scales (the supervisory scale and that for job attitudes)

the group that had experienced sensitivity training showed
significantly more positive attitudes to both the question of
supervisor/subordinate relationships and to their jobs.
Unfortunately, Elliott's research only gives an indication of
more positive attitudes - not actual behavioural changes.
Probably the most important study of the effects of sensitivity
training whidh does show that verifiable positive changes in
behaviour actually took place following training and were
sustained in Bunker's research(90). Bunker, similarly, used a
matched control group and found that of the 229 people who had
experienced sensitivity training 67% showed verified behavioural
changes. Bunker recorded three major areas of change -

    i)   Increased openness, receptivity and tolerance
            of differences.

    ii)   Increased operational skill in interpersonal
            relations, with overtones of increased capacity
            for collaboration.

    iii)   Improved understanding and diagnostic awareness
            of self, others and interactive processes in
            groups.

Boyd and Elliss(91) conducting post-sensitivity training
surveys in Canada found verifiable positive changes in the
behaviour of 64% of their sample of 42 managers. Though different

scales were used the areas of improved behaviour corresponded to those identified by Bunker.

Within TI, one large unit, Plant 'C' sent 45 managers on courses at Woodbourne Grange where sensitivity training was used. Of this group 31 replied to the questionnaire (See Appendix VIII) and the following facts emerge -

i)   81% showed positive changes in attitude and described subsequent behavioural changes in their working relationships.

ii)   19% considered that they had undergone no change.

iii)   25% of the sample read books or articles on sensitivity training following the experience.

iv)   10% found the experience embarrassing.

v)   10% found it to be worrying.

vi)   20% expressed mixed feelings of anxiety, confusion and anger.

Sensitivity training appears to mean different things to different people. However, experience in TI seems to suggest that it both lends significance to and serves three basic organisational concerns -

i)   Managers are accountable for achieving results
in complex, human and technological organisations.
The definitions of the term 'organisation' are
many and varied, but in this context, the
structure of organisation may be seen as Collier
(92) suggests as - 'a persisting pattern of
interaction'. If one accepts Albrow's concept
of organisation(93) as being - 'a set of structures
that perform the functions necessary to the fulfil-
ment of the organisation's objectives' then it
would seem that from the manager's point of view
the important questions are -

a)   Is the organisation that which is needed
to meet defined and desired objectives?

b)   Are the patterns of interaction appropriate
for the structure?

c)   To what extent are individual membership,
commitment and co-operative effort reinforced
and legitimised by the setting and achieve-
ment of work goals?

d)   What is the nature of effective authority
and what control mechanisms influence the
effectiveness of the organisation's

functioning. What is the nature of
'informal' organisation, and what are the
sanctions that represent the realities of
power?

e)   What are the institutionalised norms,
values and 'sanctities' of the organisation?
Are they a stabilising influence which help
to perpetuate and develop effective
behaviour, or do they stultify, encourage
conventional wisdom and result in largely
sterile behaviour?

f)   To what degree do sound informal social
processes eventually become over-formalised
and ritualised, so that they become over-
precise and therefore, cease to be effective.

ii)   Organisations attain their objectives consciously
through the co-operative and coordinated activities
of people. More precisely, targets are set and
results are achieved principally by the interaction
of human perception and motivation with the
prevailing environmental conditions. Thus, the
practical, managerial issues here appear to be -

a)   What are the causal relationships between
motivation and effort that apply within a

particular set of conditions and how can they be most satisfactorily influenced by management?

b) What is the social philosophy projected by the company and its executives? How is it communicated?

c) What are the pervading assumptions that managers appear to hold about their subordinates and vice-versa? Are these assumptions congruent with the declared social philosophy and/or personnel policies of the organisation? By way of a corollary to this, are inappropriate assumptions about human behaviour - particularly motivation - a root cause of ineffective managerial strategies?

iii) While companies represent secondary, or even tertiary groupings, most managers work through and control primary groups. The work of Argyris(94), Likert(95) and Klein(96), inter alia, suggests that people, potentially, satisfy the majority of their social and ego needs and accomplish tasks most effectively, through face-to-face work groups. The questions which primary group activity appears to pose managers are -

a)   To what extent are individual roles both
      viable and interdependent? What is the
      likely impact of ineffective role behaviour
      upon relationships within the work group?

b)   What constitutes appropriate behaviour and
      how is nonconformity normally dealt with?

c)   What are the primary group norms and
      emotional needs and to what extent do they
      interfere with effective task performance?

From the research carried out by the writer during the last
twelve months, these three areas of learning appear to be those
most worth exploring if training is to have positive effects
upon managerial skills and behaviour - particularly those
demanded of managers in the roles of superior and mentor.

People develop their social competence and awareness through
various learning experiences. Any experience which will further
interpersonal skills, in the managerial context, appears to
depend upon the following conditions for learning -

i)   The recognition on the part of the trainee of a
      need for improving his own human relations skills
      - i.e. only the learner will learn.

ii) An opportunity for the trainee to interact in a
     learning situation _so that actual behaviour_
     serves as the curriculum.

iii) A supportive and constructive climate for
     learning.

iv) Opportunities for the trainee for realistic
     feedback on the effectiveness of his behaviour -
     either as it occurs or as soon as possible
     afterwards.

v)   A basic understanding of individual group and
     organisational behaviour to lend definition to
     the results of his interaction with others.

vi) Opportunities to practice and improve new skills
     of relating in person-to-person, person-to-group,
     and group-to-group situations.

vii) Opportunities to relate learning to the conditions
     and values that apply within his own work situation.

As was stated earlier, the reactions of delegates to the
heuristic learning experiences have tended to polarise. Of the
308 delegates who have taken part, interaction on and discussions
on the seminars suggest that, overall, approximately 25-30% show
positive responses to such forms of learning, though on five

seminars the proportion was about 20%. The extremes of overt
negative reactions which represent about 5% of the throughput of
course members are normally characterised by expressions of con-
siderable hostility towards the trainer and dissatisfaction with
the seminar, evidenced by such statements as -

i) 'I've sat here for two days and, so far, I haven't
been told once how to appraise my staff. I can't
see that I'm taking anything back with me which I
can use'.

ii) 'As far as I'm concerned this seminar has been a
complete waste of time - all it's done is pose
problems, not solve them'.

iii) 'Role playing is embarrassing and the situations
we've been put into are too artificial to be of
any value'.

The polarisation, which has occurred on eighteen of the
twenty seminars has provided the tutor with an opportunity to
demonstrate the significant influence of the 'culture' of an
organisation upon the prevailing managerial styles, and therefore,
approach of individual managers to appraisal and counselling.
Much of the negative behaviour and culture of a seminar, where
a significant minority of members are largely refusing to accept
that theirs is the responsibility for learning, manifests itself

in the way they participate in syndicate studies and conduct the role-play appraisal and counselling sessions. During the plenary sessions where the participants come together to compare experiences, having conducted their role-play interviews in separate rooms, negative attitudes towards both appraisal and the experiential learning find expression in such statements as -

i)   'I decided to hit him with all I'd got, right from the word go'.

ii)   'I was determined to get my spoke in first and keep him down for the rest of the interview'.

iii) 'I soon had my chap squirming and I didn't let him off the hook'.

The attitudes of individuals, the interaction within and between groups and syndicates and the evolving culture of the seminar as a whole, all constitute a reality which provides opportunities for exploring the significance of attitudes and behaviour in inter-personal competence, in face-to-face situations.

The credibility of the role-play situations, the behavioural interpretations of the tutor and the reactions of other delegates have been enhanced by the use of closed-circuit television role-play interviews, lasting a minimum of thirty minutes and tele-recorded

on video-tape, provide the individuals involved with a second showing of the 'here and now' and thus opportunities to work through the strengths and weaknesses of the interview. The introduction of an observer into every role-play situation has provided further opportunities for feedback for both 'interviewers' and 'interviewees'. Each role-play pair conduct their appraisal/counselling interview with an observer sitting in and at the end of thirty minutes the pair come out of the role and talk through the experience in conjunction with the observer who discusses with them the extent to which he perceived -

i) Positive, supportive and constructive behaviour.

ii) The establishment of rapport and stratagems, conversation and even individual words which appeared to lead to a strengthening in relationship.

iii) Task-oriented behaviour devoid of fight/flight, dependency, pairing or other, largely emotionally based, behaviour.

iv) Negative, destructive behaviour characterised by aggression, dominance/submissiveness, task-avoidance, over-competitiveness and tension.

All seminar members act, in turn, as observers - hence there is a conscious development, through actual observation and

interpretation, of the need for social awareness in appraisal/
counselling situations. Delegates acting as observers are
coached in the use of a modified form of Bales' 'Social Interaction
Analysis'(97) and record the occurrence of various aspects of
positive/constructive, task-centred and negative/destructive
behaviour, i.e. -

	1.	Shows agreement and acceptance. Raises other's status.
	2.	Shows tension release - e.g. laughter. Shows satisfaction.
Socio-emotional Area (Positive Stimuli)	3.	Recognises, understands and encourages other's contribution.
	4.	Complies. Develops, extends and/or synthesises other's ideas and concepts.
	5.	Gives suggestions and direction.
	6.	Gives opinion, evaluation or analysis.
Task Centred Area (Neutral)	7.	Gives orientation information, repeats, clarifies and confirms.
	8.	Asks for opinion, evaluation, analysis, expression of feelings.
	9.	Asks for orientation information, repetition and confirmation.
	10.	Asks for suggestions, direction, possible ways of action.

11. Disagrees, shows passive rejection, resorts to formality and (FIGHT) withholds help.

Socio-emotional Area (Negative)

12. Shows tension and lack of direction. Ask for help. 'Withdraws' from the situation. (FLIGHT and/or DEPENDENCY) Colludes with the other (PAIRING).

13. Shows aggression, deflates other's status. Defends or asserts self. (FIGHT).

The introduction of syndicate tasks, involving members in designing and putting to use their own appraisal and counselling forms, has helped to increase their awareness of the need to have a thoroughly considered framework of ideas within which to conduct a satisfactory interview. More specifically, studies directed towards the development of members' own ideas of what is an appropriate format for a job description, as well as for appraisal forms, has increased the appreciation of what constitutes a valid basis to appraising people's effectiveness. Moreover, the concentration upon defining and agreeing those areas which need to be discussed between superiors and subordinates appears to be increasing the recognition that appraisal is a principal accountability of managers, not merely an annual form-filling chore, devised by bureaucrats for bureaucrats.

Follow-up interviews not using, but structured around, the Schein and Bennis type questionnaire(98), revealed the following reactions from thirty respondents at Plant 'A' -

i)   Was the seminar relevant to the problems of
     appraisal?

Very relevant	11	(36.33%)
Relevant	17	(56.33%)
Partially relevant .	2	(6.33%)
Largely irrelevant .	-	(-)

ii) Has your approach to appraisal changed as a
     result of the seminar?

Fundamentally	4	(13.33%)
Significantly	8	(26.66%)
Somewhat	10	(33.33%)
Hardly at all	8	(26.66%)

iii) In what ways does your approach to appraisal
     differ as a result of the seminar? *

**	More frank and in-formed	7	(23.33%)
	More thorough and formal	2	(6.33%)
	More frequent	16	(53.33%)
	Less frequent	0	(-)
	No perceptible change	9	(30%)

* Question (iii) was put in such a way so as not to present
respondents with an 'either, or' choice of answers, e.g. some
stated 'more frank and informal' and 'more frequent'.

** As respondents pointed out, the developing approach to M.B.O.
at Plant 'A' also influenced their approach to appraisal.

iv)   How could the seminar be improved?

More practical work (including role-playing)	5	(16.66%)
Less practical work	4	(13.33%)
More direct instruction	8	(26.66%)
Less direct instruction	0	(-)
More discussions	4	(13.33%)
Any other ways (please state)	2	(6.66%)
Does not require improving	7	(23.33%)

In addition, questionnaires aimed at assessing the perceived relevance and benefits of the seminar were sent to ten managers at Plant 'C' and six at Plant 'F' all of whom had attended during the last two years. Responses were as follows -

i)   Was the seminar relevant to the problems of appraisal?

	Plant 'C'		Plant 'F'	
Very relevant	3	(30%)	3	(50%)
Relevant	7	(70%)	3	(50%)
Partially relevant	-	(-)	-	(-)
Largely irrelevant	-	(-)	-	(-)

ii)   Which subjects did you find most useful?

	Plant 'C'		Plant 'F'	
All subjects	2	(20%)	3	(50%)
Appraisal/counselling interviews	5	(50%)	3	(50%)

	Plant 'C'	Plant 'F'
The development of appraisal forms and job descriptions	3 (30%)	0 (-)
None	0 (-)	0 (-)

iii)   Have you any suggestions for improvement? (Please

state)

	Plant 'C'	Plant 'F'
More practical work (including role-playing)	1 (10%)	1 (16.66%)
Less practical work	2 (20%)	0 (-)
More direct instruction 3	(30%)	0 (-)
Less direct instruction 1	(10%)	1 (16.66%)
More discussions ...3	(30%)	0 (-)
Any other ways (please state)......0	(-)	3 (16.66%)
Does not require improving 1	(10%)	3 (50%)

Thus, from a sample of forty managers, from three companies,
there is a response of 95% to indicate that, retrospectively,
the learning was felt to be either 'very relevant' or 'relevant'.
There would seem to be a mixed reaction to the basic problem of
'teaching' or 'learning', e.g. - at Plant 'A' over 26% of the
sample wanted more 'direct instruction' and at Plant 'C' three
of the ten respondents expressed a similar need. Against this,
one respondent at Plant 'F' and one at Plant 'C' stated in very

specific terms how valuable they found the experiential learning. At Plant 'A' three of the five who wanted more practical work (i.e. 10% of respondents in that company) expressed strong views supporting the increased use of role-play and heuristic learning methods.

Experiences on the seminar and the follow-up interviews seem to indicate that the role of the tutor is critical in the extent to which trainees learn by a combination of participative and partially sensitivity training methods and generally, bear out Lippitt's conclusions(99) that -

i)   Intervention by the trainer has as its purpose, for the most part, the learning of the group about its processes, i.e. emphasis is upon interpreting perceived attitudes and social interaction (or lack of it).

ii)   Trainer interventions may be helpful both to the individual and the group in bringing about an exposure of behaviour for analysis.

iii)   Trainer intervention may be necessary if, in the professional judgment of the trainer, a particular individual or sub-group is being excessively threatened by an analysis of behaviour. (To some extent, this belief is generally shared by Bion, Rice and Menzies(100),

inter alia, though they suggest that some
learning is, necessarily, a painful or threatening
experience).

iv) Intervention by the trainer is helpful in
encouraging the use of feedback among members
of the group for both individual and group
learning.

v) As group members take over the observer function
interventions from the trainer may become less
frequent and at a different level from those
made by the group observers, i.e. once the
delegates themselves are observing, analysing
and interpreting perceived attitudes and
behaviour on the seminar, the trainer's task
becomes less a matter of interpreting, but more
concerned with encouraging reflection. This is
in no way aimed at inducing a confessional, but
as one manager at Plant 'A' commented - 'The
most important thing for me on that seminar was
that I have learned that any performance review
begins with self-appraisal. In the past, I
simply thought of it as a routine which I went
through, rather mechanically, as fast as I could'.

In those companies where a significant proportion of
managers have taken part in the seminars evidence from interviews

with them, interviews with their immediate superiors and subordinates suggests that appraisals and follow up action are more effective than in many companies within TI which have sent very few or no managers on the seminars. Moreover, the results of the comple- mentary survey into the extent to which appraisal forms are used as a basis for improving performance and developing managers indicates that the degree of specificity in the identification of weaknesses, the definition of required remedial action and the joint setting of new objectives is up to _five times_ greater in companies that have sent a large proportion of their managers on the seminars than in those that have not. (Please see pages 163-166).

Furthermore, evidence from both interviews and the extent to which action is taken indicates that in the companies which have made extensive use of the seminars appraisal practices have improved as a result of -

i)   Increased acceptance of the importance of appraisal as a management accountability.

ii)   Increased recognition of its immediate relevance to improving performance.

iii)   Increased awareness of the difficulties involved in making appraisals effective.

iv)   Some re-definition of the significance of the superior/subordinate relationship in improving

performance on a joint, or interdependent basis.

v)   An enhanced awareness of the need to agree and
set work objectives.

vi)   Specific requests to the Central Personnel Function
for follow-up in-plant seminars in appraisal and
counselling to pursue the subject in more depth
and with greater numbers of managers.

3.3.   Summary to Section 3

The evidence emerging from training in performance appraisal
and counselling and the research conducted into the effects and
appropriateness of that training is emphasising the following
problems -

i)   Commitment to appraisal must be from the top of
an organisation downwards. Furthermore, an
executive of both competence and significant
influence must be made accountable for ensuring
that appraisals do take place and that the
requisite follow-up action does occur.

ii)   Far more thought must be given to the develop-
ment and use of managerial job descriptions -
particularly the extent to which they describe
reality and the degree to which specific end-
results are defined, reviewed and renewed.

iii)   Appraisal forms currently in use within the Group, are to some extent inappropriate and inadequate. Moreover, investigation shows they need to be simplified so that attention is concentrated on the critical areas in improving performance, particularly the correct diagnosis and elimination, or reduction, of constraints upon performance.

iv)   More training, aimed specifically at underlining the importance of the information on appraisal forms and, therefore, emphasising the need to complete them correctly is required.

v)   Training in appraisal and counselling while intended both to develop appropriate interpersonal skills and to foster constructive dissatisfaction with inadequate current practices must be perceived by the trainee to be relevant to his particular work situation and what he comes to see as his social needs in face-to-face confrontations. As Smith(101) suggests where a trainee develops and preserves a strong identification with both the learning norms and the group norms prevailing on the seminar and where these norms conflict with the standards and values in his own work situation there is likely to be a reversal in learning, comparable to that experienced in the Fleshman experiment(102). In other words, learning under

such conditions is likely to be by compliance
or, at best, identification and not by
internalisation so that little or no real
transfer of training can be expected.

vi)   Training in the field of interpersonal competence
is, as Smith has demonstrated(103) largely a
matter of internalisation or, to use Bion's
term(104) - 'felt experience'. However, my own
research seems to endorse Kelman's assertion(105)
that the role of the trainer is a significant
influence in the type or level of learning
occurring in behavioural studies. A corollary
to this is that the influence style and level of
learning is also likely to determine who will
influence whom in a given learning situation and
whether the effects of that influence will persist
after the termination of the relationship between
the learner and influence agent (the trainer). It
would seem therefore, that a major skill of the
influence agent is the degree to which he can lend
recognisable definition to learning opportunities,
as they emerge, so that trainees can formulate,
within appropriate frameworks of reference, their
own conclusions as a result of internalised learning.

vii)   Evidence from the research into the effects of training in appraisal supports the findings from the research into actual appraisal practices (please see section 4) that many superiors and subordinates do not discuss work and work relationships as frequently, objectively and effectively as such interdependent roles demand. The effectiveness of a dialogue must, inevitably, presuppose an acceptable level of articulation. However, the principal barriers to effective interchanges are matters of perception, logic and emotion. As Howe states(106) a dialogue between superior and subordinate is basically - 'the serious address and response between two or more persons in which the truth of each is confronted with the being and truth of the other'. Moreover, as Rosten concludes,(107) - 'The problem of getting an idea from one head to another is .... apparently more complicated than any the physical sciences have had to deal with .....We go on the assumption that there is something called 'the truth' and forget that there are truths. We think we can talk about facts and forget that there is something called context'.

Thus, despite some reaction against heuristic and experiential learning in face-to-face situations, there would seem to be a

strong case for increasing the degree to which <u>behavioural and</u>
<u>interpersonal experiences form part of the actual learning</u>
<u>curriculum</u>, i.e. sensitivity training, but under more structured
and, thus, 'controlled' conditions than those which frequently
characterise unstructured T-Groups.

Resistance to experiential learning stems, in part, from
the need in many managers attending the seminars to 'learn how
to learn'. However, our evidence, supported by that of Rice,
Richardson and Turquet, inter alia, suggests(108) that unfavour-
able reaction against such forms of learning are largely due
to -

i)   Fear of exposure, or 'attack', in the form of
ridicule, or a challenge which cannot be coped
with.

ii)   The refusal to accept that personal values and
beliefs, cherished for perhaps twenty or more
years, may after all be false or inappropriate.

Many managers appear to hold deceptively precise beliefs
about the motivations of others. These may be an over-simplification
of behavioural cause-and-effect and thus may represent a
'tidying up' of reality in order to make facts fit personal
theories and assumptions. Nevertheless, such views are often
both rigid and strongly held and, therefore by definition, highly

resistant to change. It would thus seem from the evidence we
have that more extensive use of behavioural frameworks - such
as the 'Five-fold Grading' are necessary in order to discuss
behaviour in appropriate contexts. Furthermore, there would
seem to be a need for more opportunities to experience behaviour
in more depth and thus exchange, test out and work through
beliefs and feelings as they occur rather than leave them 'in
the air' to be merely considered subsequently by delegates,
once they have left the seminar.

4. RESEARCH INTO APPRAISAL AND APPRAISAL PRACTICES IN TI.

4.1. Objects of the Research

Supplemented by the survey of the effects of training in performance appraisal and counselling, described in Section 3, the aims of the research, carried out in seven separate companies in TI were to -

i) Gain an accurate appreciation of the effectiveness of existing appraisal practices on the basis of a random sample of companies and managers.

ii) Acquire data which would identify the principal courses - both personal and organisational - of ineffective appraisals.

iii) Assess the extent to which appraisal is regarded by managers as a principal accountability and therefore institutionalised as an essential part of managerial practice.

iv) From (i), (ii) and (iii) above, evolve more appropriate and valid bases for assessing a manager's current effectiveness in his role, improving his performance and, where appropriate, developing his career potential.

v) Determine, in the light of (i) - (iv) -

a) What further policies, procedures and practices need to be evolved by both the Personnel Function and Line Management in order to operate appraisal schemes more effectively.

b) What modifications and follow-up to existing training in appraisal and counselling would most usefully contribute to improving inter-personal skills in face-to-face situations and ensure that all vital information is written into appraisal forms as a basis for action.

The data for the research has been obtained from the following sources -

i) Questionnaires seeking to establish the level of frankness, scope of discussion and perceived usefulness of appraisal were sent to 210 respondents. Of this number it was possible to follow up the questionnaires by interviews in depth with over 50 managers. Of the sample, 182 replied.

Plant 'A'   - 35 junior, middle and senior managers/
                                          specialists

Plant 'G'   - 15 junior, middle and senior managers/
                 specialists

Plant 'H'   - 45 junior and middle managers/specialists

Plant 'J'   - 25 junior, middle and senior managers/
                 specialists

Plant 'K'   - 15 junior, middle and senior managers/
                 specialists

Plant 'L'   - 10 junior, middle and senior managers/
                 specialists

Plant 'M'   - 35 junior, middle and senior managers/
                 specialists

Division 'X'- 30 junior, middle and senior managers/
                 specialists

ii)   Questionnaires seeking to establish the perceived

        usefulness of training in appraisal and counselling -

            Plant 'A' - 30 junior, middle and senior

            managers/specialists (followed by interviews

            in depth since both superiors and their

            subordinates had attended the same seminar

            - thus there was opportunity to examine the

            relevance of the training, both from the

            appraiser's point of view and also that of

            the appraisee interviewed by a boss who had

            attended the seminar.)

            Plant 'C' - 10 junior, middle and senior

            managers/specialists.

            Plant 'F' - 6 junior and middle managers/

            specialists.

iii) Discussions in depth with 300 directors, managers
and specialists while acting as course tutor on
twenty 3-day seminars on performance appraisal
and counselling. Additionally, similar discussions
were held with a further 81 executives on four
in-plant seminars, on appraisal conducted by
the researcher.

iv) Data exchanged with other researchers, personnel
staff and line managers concerned variously, with
performance appraisal and M.B.O. in universities,
national and professional institutions, the Civil
Service and companies outside the TI Group, both
in the U.K. and abroad.

v) Analysis and classification of the contents and
relevance of 236 appraisal forms completed in eight
different units within TI as follows -

Plant 'B' .... 27 forms
Plant 'C' .... 50 "
Plant 'D' .... 36 "
Plant 'E' .... 38 "
Plant 'F' .... 20 "
Plant 'G' .... 25 "
Plant 'J' .... 20 "
Plant 'N' .... 20 "

4.2. Research Methodology

As Herzberg has indicated(109), the findings of behavioural and, in particular, psychological research are far less reliable than those of the physical sciences because of the number and type of variables involved and the more subtle intrusion of the investigator's own bias. Attitude research in psychology has a long, tortuous and, in places, somewhat suspect history. The definition of what an attitude is and how it differs from opinions, feelings and pre-dispositions has not yet been satisfactorily resolved. Furthermore, experience with attitude and opinion surveys suggests that answers are given without the respondents knowing what data the researcher is seeking, or what the real significance of the questionnaire is.

Because of the inherent difficulties in attitude survey it seemed that a 'situational' approach to the investigation, using a detailed narrative style, was more appropriate than a 'dimensional' approach. The very empirical nature of social confrontation - especially that which appears to characterise behaviour patterns in appraisal and counselling interviews tends to militate (as yet) against a formalised theory of 'confined social interaction'. There is some behavioural theory(110) which is partlyopposite to limited social situations, but it is largely anthropological, not related to industrial environments and, furthermore, is concerned with the interaction of primitive peoples of a totally different culture from that found in British managerial relationships.

Thus, the principal methods used by the researcher were
those outlined on pages 111 - 114 but set in the following
context -

i) Questionnaire on frankness in exchanges between
    superiors and subordinates and perceived usefulness
    of appraisal.

    This was sent, wherever practicable, to people
    in paired relationships and the 'upwards and
    downwards' implications of frankness were
    talked through with both superiors and their
    subordinates after the completion of the
    questionnaires. In all c ases, a carefully
    worded letter, following discussions with plant
    personnel staff, was sent to respondents
    explaining the purpose of the survey. The
    anonymity and confidentiality of responses was
    stressed repeatedly, both in writing and in
    discussion and only 4 respondents, out of 182,
    expressed concern about maintaining the secrecy
    of the data they had provided. At only Plant 'A'
    was there any form of M.B.O. though the other
    companies used written job descriptions, with
    requisite levels of performance written in.

ii) Questionnaire on the perceived usefulness of
    training in appraisal and counselling.

    Where possible, this was sent to delegates from

Plant 'A' who had attended the seminars and whose superiors had also come as trainees. Out of the 16 respondents from Plants 'C' and 'F' only four were in direct superior/subordinate relationships with one another. All three plants used some form of target setting and virtually all the respondents had written job descriptions expressed, more or less, in terms of requisite end-results.

iii) Discussions in depth with delegates attending seminars on appraisal and counselling run by the researcher.

The role of the researcher in these discussions was principally that of seminar leader and involved --

a) Lecturing.

b) Discussion leading.

c) Controlling role-play interviews and syndicate studies/projects.

iv) Data exchanged with other researchers and practitioners concerned with evolving and evaluating performance appraisal and M.B.O. policies and practices.

Researchers included --

J. Van Lennop   - University of Utrecht, Holland

J.W.H. Combrink	- Unilever (UK) - Application of Van Lennop's concepts.
R.S. Milne	- Director, International Management Centre, Turin, Italy.
D.Wright	- Department of Psychology, University of Leicester.
M. Budirsky	- Director of Personnel, N.H.K.G. Steelworks, Czechoslovakia.
J. Orlik	- Senior Research Assistant, Czech Institute of Management, Prague, Czechoslovakia.
E. Moorby	- Engineering Industry Training Board.
C. Tennent	- Consultant, Urwick Orr and Partners, formerly Director, Iford Manor Training Centre.
M.D. Casey	- Director of Personnel, The Wallpaper Manufacturers Association.

The exchange of research data on appraisal with
Milne, Budirsky and Orlik occurred when the
researcher read papers on performance appraisal
in Ostrava, Brno and Prague, at the invitation of
the Prague School of Economics and the Czech
Institute of Scientific Management. The other
contacts arose out of the follow up of various

published papers on, or references to, research
into performance appraisal and social interaction.

— v)   Analysis and Classification of the contents of
236 appraisal forms in TI.

The companies chosen for the sample were selected
on the basis of their appraisal practices, whether
or not job descriptions existed, whether or not
formalised target-setting occurred and the type
of manufacturing technology/process in which the
unit was engaged, i.e. -

Unit	Appraisal Frequency	Managerial Job Descriptions expressed in end-results.		Formalised Target Setting		Technology/ Process
		Yes	No	Yes	No	
Plant'B'	Annual	x		Partly		Flow/batch/jobbing
Plant'C'	" +targets	x		x		Flow
Plant'D'	"		x		x	Flow/batch/jobbing
Plant'E'	"		x		x	Research and development
Plant'F'	"	Partly		Partly		Batch/jobbing
Plant'G'	"	Partly			x	Process
Plant'J'	"	Partly			x	Batch/jobbing
Plant'N'	"	Partly			x	Flow/batch/jobbing

The data was analysed, classified and compared
in order to -

a) Determine the extent to which strengths
and weaknesses were specified and related
to successes and failures, or effective/
ineffective performance.

b) Determine the extent to which work targets
were agreed by the appraiser and appraisee.

c) Assess the relevance of proposed courses of
action (where stated) both to the need to
improve performance and to the personal
development needs and, where appropriate,
career development of the appraisee.

d) Determine the extent to which assessed
current effectiveness related realistically
to estimated company succession needs.

e) Obtain further evidence of the usefulness
of the training given on the appraisal and
counselling seminars.

4.3. Design of the Questionnaire

The questionnaire on frankness and the perceived usefulness
of appraisal and counselling was sent to 210 junior, middle and

senior managers or specialists. The most senior respondents
were two directors of operating companies, while approximately
5% of the sample were classed as 'senior executives'. The
majority were from middle management and approximately 25%
were of junior managerial status. The age range was from
approximately 23 to just over 60 years of age. Follow-up
interviews with over fifty of the respondents varied in length
from twenty minutes to over an hour, with the majority lasting
about thrity minutes. Plants 'A', 'G' and 'J' are medium-sized
manufacturing companies producing ranges of engineering goods.
Plants 'H' and 'L' are special development or research units
of about two hundred staff each, and plant 'K' is a small
processing plant, some of whose products are almost unique in
the U.K. Plant 'M' is a large manufacturing company of about
14,000 people and has a virtual monopoly of U.K. and some foreign
markets. The thirty respondents from division 'X' come from four
similar medium-sized companies from within the same division.

The questionnaire was designed principally to obtain
attitudes towards the superior/subordinate relationship and the
value of appraisal and counselling interviews from the assessee's
point of view, though over 75% of the respondents have subordinates
reporting, in turn, to them. At plant 'M' a specific request was
made by the company for additional questions to be included so that
respondents might express their views as appraisers, as well as
appraisees. Of the total of 210 questionnaires 35, appropriately
modified, were received from respondents in plant 'M'.

In general terms, the questionnaire was modelled on those
used by Bennis and Schein(111), but also included, in a somewhat
developed form, questions similar to those used by Merrill and
Martin(112) in their recent survey of appraisal practices and
superior/subordinate managerial relationships in the U.S. During
follow-up interviews with 52 respondents the 'sequence of events'
method, employed by Herzberg(113) inter alia, was used to verify,
where possible, that real attitudes did, in fact, exist - i.e.

i)   When did this occur?

ii)   How long did the feeling (events) last? Can you
describe, exactly, what caused the change in
feelings (events) ? When did it end and how did
that come about?

iii)   Was what occurred typical of what was happening
at that time?

iv)   Can you be more specific about the reasons why
you felt (feel) as you did (do) ?

v)   To what extent did (do) these feelings interfere
with your ability to do your job? How long did
this last?

vi)   Can you give me a specific example of how your
work performance was affected?

vii)   How did this influence your relationships with
your superior, peers and subordinates?

viii)   Did events (your feelings) influence your views
about continuing to work for the company?

ix) Did you feel you would like to change your job
     or your immediate boss?

x)   Could the same events (feelings) occur again with
     the same results? If not, what precisely has
     happened to you, or the situation generally,
     which would make the outcome different from what
     it was previously?

Respondents were asked to provide supporting comments to
their responses to each question and were invited to make any
other additional observations on their expectations and experiences
of appraisal at the end of the questionnaire.

4.4. Problems in 'Measuring' Attitudes

Necessarily, some conclusions from the research will be
speculative. The theory of social interaction is not, as yet,
sufficiently validated and formalised to make definitive state-
ments about the attitudes communicated by respondents - both
in the questionnaires and during subsequent interviews. The
alternative is to identify and examine what appear to be cues
or 'triggers' for expressed attitudes and/or perceived behaviour.
By tradition, behavioural scientists have sought to differentiate
between the 'cognitive' and 'affective' components of attitudes.
While attitudinal cognition is concerned principally with
objectivity and facts the affective aspect of an attitude is
compounded of emotions and value judgments which have their roots

in the irrational and often subconscious. As Young(113) states,
- 'A basic postulate is that when the affective and cognitive
components of an attitude are mutually consistent the attitude
is in a stable state, but when the affective and cognitive
components are mutually inconsistent the attitude is in an
inconsistent state and will undergo reorganisation until there
is affective-cognitive consistency'. The demonstrable validity
of this view of attitude 'structure' was sometimes apparent
during interviews when some respondents noticeably modified
their attitudes as they talked through their feelings in the
absence of any facts. In other words, perceptions and inter-
pretations were re-structured and re-organised to attain congruence
with the modified feeling about appraisal or the respondent's
boss. One manager actually re-wrote his questionnaire half
was through the interview and considerably changed several of his
responses from strongly negative to moderately positive as he
experienced something of a change of heart towards his superior.
Festinger(114) suggests that where dissonance exists between
cognitions themselves, in terms of an individual's concepts the
individual will seek to change the cognitions in order to reduce
the dissonance.

It is likely that the strict anonymity and confidentiality
of the survey may have increased the extent to which responses
were influenced by affect, rather than by cognition. However, in
some plants, e.g. 'H' and 'L' where much of the information
obtained was largely the result of affective cues in the form of

supporting comments to responses, there was, nevertheless, a
significant degree of consistency in the feelings expressed by
respondents from within the same plant. Moreover, while it is
now considered to be inaccurate and inappropriate to attempt to
classify people into 'types' there is evidence to suggest that
much of human motivation centres around 'affiliative' or
affective needs on the one hand and 'achievement' needs on the
other. This is not to say that there is simply and 'either, or'
choice but evidence from the behavioural sciences suggests that
the motivations of a significant number of people tend to emanate
largely from one or the other of these needs and so attitudes
and behaviour tend to be more or less congruent with the need
patterns. This, again, was evident from both responses in
certain of the questionnaires as well as from perceived behaviour
during interviews.

Because of the anonymity of the exercise, except in the
case of the fifty-two respondents who were interviewed, the normal
cues about behaviour and attitudes could only be taken from the
responses and must inevitably ignore such important factors as
respondents' status, personalities, 'value-sets' and relation-
ships. However, much is known to the researcher about the
opportunities and constraints which exist within the environ-
ments from which respondents were drawn. Undoubtedly, all the
variables cannot be isolated analysed and correlated to validate
data conclusively. On the other hand, the degree of articulation
in many of the supporting comments suggests that a realistic
picture of relationships, as well as the state and usefulness of

face-to-face contact on performance appraisal, was obtained
in the majority of cases.

The questions and percentage responses to the questionnaire
were as follows -

QUESTIONNAIRE ON PERFORMANCE APPRAISAL AND COUNSELLING (1)

Please answer ALL questions and tick the answer which <u>best</u> describes your situation. Add any comments which you feel usefully add to your answers. Please do NOT put your name on this questionnaire.

QUESTION   RESPONSE (%)

	'A'	'G'	'H'	'J'	'K'	'L'	'N'	'X'
	(35)*	(15)	(45)	(25)	(15)	(10)	(35)	(30)
	(34)**	(10)	(40)	(23)	(10)	(5)	(31)	(28) = 181
1. Do you have a clear idea of what specific end results are expected of your job?								
Always	45%	30%	25%	38%	40%	20%	52%	25%
Usually	50%	70%	70%	62%	60%	80%	44%	63%
Occasionally	5%	0	5%	0	0	0	0	6%
Rarely ever	0	0	0	0	0	0	4%	6%
2. To what extent are there adequate opportunities for discussing the scope, end results, problems and constraints of your job with your superiors?								
Completely satisfactory	36%	20%	8%	26%	10%	0	35%	25%
Generally satisfactory	50%	60%	75%	61%	90%	0	35%	57%
Generally unsatisfactory	14%	20%	17%	13%	0	80%	22%	12%
Completely unsatisfactory	0	0	0	0	0	20%	8%	6%

* Questionnaires sent out
**Questionnaires returned completed.

QUESTIONNAIRE ON PERFORMANCE APPRAISAL AND COUNSELLING (1) CONT'D

3. Do you have a clear idea of what your superior thinks about (a) your current performance, (b) your potential and future prospects?

	'A'		'G'		'H'		'J'		'K'		'L'		'M'		'X'	
	(a)	(b)	(a)	(b)	(a)	(b)	(a)	(b)	(a)	(b)	(a)	(b)	(a)	(b)	(a)	(b)
Always	32%	23%	20%	0	3%	0	23%	13%	10%	0	0	0	17%	13%	38%	6%
Usually	45%	23%	40%	20%	39%	28%	77%	48%	80%	10%	0	0	44%	13%	18%	25%
Occasionally	23%	36%	20%	40%	41%	25%	0	13%	0	10%	0	0	17%	48%	38%	25%
Rarely ever	0	18%	20%	40%	17%	47%	0	24%	10%	80%	100%	100%	22%	26%	6%	44%

4. To what extent do you and he discuss those areas where you need to improve performance?

	'A'	'G'	'H'	'J'	'K'	'L'	'M'	'X'
Completely satisfactorily	32%	30%	0	61%	10%	0	17%	25%
Generally satisfactorily	36%	40%	56%	26%	70%	0	44%	44%
Generally unsatisfactorily	27%	20%	39%	13%	10%	40%	22%	25%
Completely unsatisfactorily	5%	10%	5%	0	10%	60%	17%	6%

5. To what extent are you and your superior frank about personal factors which either enhance or restrict your effectiveness, e.g. your relationship with him, the support you give each other, your relationships with others, your capacity to see jobs through, your managerial skills generally, etc?

	'A'	'G'	'H'	'J'	'K'	'L'	'M'	'X'
Completely satisfactorily	41%	20%	8%	13%	0	0	22%	38%
Generally satisfactorily	36%	40%	47%	37%	80%	0	53%	38%

	'A'	'G'	'H'	'J'	'K'	'L'	'M'	'X'
Generally unsatisfactorily	23%	30%	31%	37%	10%	20%	19%	18%
Completely unsatisfactorily....................	0	10%	14%	13%	10%	80%	8%	6%

6. To what extent to discussions about personal and behavioural factors provide you and your chief with a basis for improving work relationships and your joint effectiveness?

	'A'	'G'	'H'	'J'	'K'	'L'	'M'	'X'
Completely satisfactory	36%	10%	5%	13%	0	0	17%	18%
Generally satisfactory	32%	40%	44%	37%	70%	0	39%	50%
Generally unsatisfactory	32%	40%	36%	37%	20%	20%	27%	18%
Completely unsatisfactory	0	10%	15%	13%	10%	8%	17%	14%

QUESTIONNAIRE ON PERFORMANCE APPRAISAL AND COUNSELLING (1) CONTINUED

Plant 'M' and Division 'X' only

QUESTION	RESPONSE (%)	
	Plant 'M'	Division 'X'
7. To what extent do you and your subordinates discuss those areas where they need to improve results?		
Completely satisfactorily	9%	21%
Generally satisfactorily	82%	72%
Generally unsatisfactorily	9%	7%
Completely unsatisfactorily	0	0
8. To what extent are you and your subordinates frank about personal factors which either enhance or restrict their effectiveness e.g. your relationship with them, the support you give each other, their relationships with others, their managerial skills generally etc.?		
Completely satisfactorily	9%	21%
Generally satisfactorily	82%	69%
Generally unsatisfactorily	9%	10%
Completely unsatisfactorily	0	0
9. To what extent do your subordinates accept comments about those personal and behavioural factors which either enhance or limit their working relationships and job performance?		
Completely satisfactory	4%	21%
Generally satisfactory	87%	72%
Generally unsatisfactory	9%	7%
Completely unsatisfactory	0	0

4.5. Findings from the Attitude Survey (II)

Of the 210 questionnaires sent out 182 were returned, completed, giving a response of 87% of the whole sample. From plants 'G' and 'K' two thirds of the forms were returned while from plant 'L' only 50% of the questionnaires came back. Of the 182 received 19 (10.4%) were without any supporting comments whatsoever. Six of these came from plant 'M' and five from plant 'H'.

Taking the sample as a whole, an analysis of the responses to the questions provides the following data -

1. Do you have a clear idea of what specific end-results are expected of your job?

   Always 36%

   Usually 61%

   Occasionally 2%

   Rarely ever 1%

2. To what extent are there adequate opportunities for discussing the scope, end-results, problems and constraints of your job with your superiors?

   Completely satisfactory 24%

   Generally satisfactory 56%

   Generally unsatisfactory 17%

   Completely unsatisfactory 3%

3. Do you have a clear idea of what your superior thinks about (a) your current performance, (b) your potential and future prospects?

	(a)	(b)
Always	19%	8%
Usually	44%	23%

	(a)	(b)
Occasionally	23%	30%
Rarely ever	14%	39%

4. To what extent do you and he discuss those areas where you need to improve results?

Completely satisfactorily	23%
Generally satisfactorily	42%
Generally unsatisfactorily	26%
Completely unsatisfactorily	9%

5. To what extent are you and your superior frank about personal factors which either enhance or restrict your effectiveness, e.g. your relationship with him, the support you give each other, your relationships with others, your capacity to see jobs through, your managerial skills generally, etc?

Completely satisfactorily	21%
Generally satisfactorily	42%
Generally unsatisfactorily	26%
Completely unsatisfactorily	11%

6. To what extent do discussions about personal and behavioural factors provide you and your chief with a basis for improving work relationships and your joint effectiveness?

Completely satisfactory	17%
Generally satisfactory	39%
Generally unsatisfactory	30%
Completely unsatisfactory	14%

Taking the overall percentage responses in the sequence in which they occur, the following emerge as the most obvious conclusions which may be drawn -

i)   The managers in the sample almost all had a
      clear idea of what was expected of them in
      terms of work results (totally 97%).

ii)   Of the 182, 80% felt that there were adequate
      opportunities for discussing the scope and
      problems of their jobs.

iii) While 63% declared that they believed they
      knew what their superiors thought of their
      current performance only 31% felt that they
      knew how their bosses regarded their potential
      and future prospects.

iv)   65% were more or less satisfied with the extent
      to which they and their bosses discussed areas
      where they need to improve performance.

v)   Frank exchanges on personal factors, including
      the working relationships of the respondents
      and their superiors were felt to be satisfactory
      by 63% of the sample.

vi)   56% found that talking about personal and
      behavioural factors tended to enhance their
      relationships with their superiors and to lead
      to improvements in their joint effectiveness.

The percentage of favourable responses to questions
iii(a), iv and v (above) corresponds very closely with those
obtained by Merrill and Martin(114) in the U.S., viz -

Q.	TI Survey	Merrill and Martin	
iii(a)	63%	60%	(Superiors' views of appraisee's current performance).
iv	65%	64%	(Extent to which superior draws appraisee's attention to areas where improvements are needed).
v	63%	59%	(Extent to which respondents were satisfied with the perceived frankness in their relationships with their superiors).

Whereas 97% of the TI managers appear to understand what is
required of them, Merrill and Martin found that 85% of their
respondents were clear about the end-results of their jobs.

Of the 82 (45% respondents who added 'additional comments'
about the usefulness of appraisal and counselling, at the end
of the questionnaire, 56 expressed favourable views, while 26
showed negative attitudes and dissatisfaction.

Of the latter, however, while disillusioned or dissatisfied
with current practices 12 expressed favourable attitudes towards

'effective' appraisal practices which they had either experienced elsewhere or hoped would develop within their companies.

The greatest number of responses displaying favourable attitudes came from plant 'A' where comments indicated a generally high level of satisfaction with both formal and informal appraisal procedures. The turnover figures in plant 'A' for managerial staff affected by the appraisal scheme would seem to substantiate the positive responses in the survey, e.g. In the two years preceding the introduction of the scheme annual staff turnover was 11.38% and 10.65%. Following the introduction two years ago, turnover went down to 8.05% and last year fell to 7.18%, the lowest for many years. It is impossible to relate the effects of target-setting and appraisal to profitability in plant 'A', however, since nationalisation, two years ago, has exerted many influences upon both costs and selling prices as well as upon the structure and competition of the markets in which plant 'A' sells its products.

The greatest number of unfavourable or negative responses (10) came from plant 'H', though all 5 from plant 'L' expressed strong dissatisfaction with current practices within that unit. Moreover, 50% of the responses from plant 'K' also expressed dissatisfaction with present personnel policies and appraisal procedures. It is interesting to compare the turnover figures from plants 'L' and 'K' with those (above) from plant 'A'. During 1969 figures for plant 'K' were 24.5% and for plant 'L' 38%. Of

the 31 completed forms received from plant 'M' 20 were returned
with no additional comments. This was by far the highest
proportion of blank final pages received from any of the companies.

. It is perhaps significant that a common characteristic of
plants 'H', 'K', 'L' and 'M' is high dissatisfaction with the
extent to which future prospects appear to be discussed in those
units, i.e. -

Plant 'H' .... 72% dissatisfied

    "   'K' .... 90%   "

    "   'L' .... 100%   "

    "   'M' .... 74%   "

- whereas in plant 'A' 54% of respondents expressed dissatisfaction
with appraisals of their potential. Furthermore, the findings
of an independent survey carried out in 1969, into the wastage
of graduates in TI, indicated that plants 'K', 'L' and 'M' were
'bad' (i.e. high turnover) units where the main causes of
dissatisfaction and reasons for leaving TI were found to be lack
of job satisfaction and apparent lack of future prospects. A
repeatedly expressed view from respondents to the survey on
graduate wastage was that they had never had a satisfactory appraisal
interview and consequently had no real idea of how well they
were doing or what the company thought of them.

Many of the respondents either 'took sides' or treated
the question of formal appraisal and informal discussions as
a means of improving performance as an 'either, or' choice. Of
the 82 responses to the question of the merits and de-merits of
formal and informal appraisal i.e. 'additional comments'
opinions were divided as follows -

Prefer formal appraisals .... 29 (16% of total
response)

In favour of both .... 27 (14% of total
response)

Prefer informal discussions .... 20 (11% of total
response)

See both as impracticable or impossible   6 (3% of total
response)

4.6. Conclusions from the Attitude Survey - Interpreting the Data

Because of the disappointingly small response from plants
'G', 'K' and 'L' any conclusions drawn are likely to be
questionable - except perhaps in the case of plant 'L' where
there has been a known history of considerable discontent and
dissatisfaction. The returns from plants 'A', 'H', 'J', 'M' and
'X' provide data which is statistically more reliable and from
which valid conclusions may be drawn. Furthermore, the 52
follow-up interviews, using the 'sequence of events' method of
questioning, were carried out in all of these latter companies,
except at plant 'J' which, geographically, is rather inaccessible.

Favourable responses, indicating <u>satisfaction with the</u>
<u>present situation</u>, in these five companies are as follows -

Question	'A'	'H'	'J'	'M'	'X'
1. Understanding of end-results of job.	95%	95%	100%	96%	88%
2. Opportunities for discussing work with superiors.	86%	83%	87%	70%	82%
3. (a) Discussions with superior on respondent's current performance.	77%	42%	100%	61%	56%
3. (b) Discussions with superior on respondent's future prospects.	46%	28%	61%	26%	31%
4. Extent to which respondent and his chief discuss areas where respondent needs to improve.	68%	56%	87%	61%	69%
5. Extent to which respondent and his chief discuss the influence of personal and behavioural factors upon performance.	77%	55%	50%	75%	76%
6. Extent to which discussions about personal and behavioural factors lead to improvements in the respondent's relationships with his superior and in their joint effectiveness.	68%	49%	50%	56%	68%

As the data indicates, there is considerable consistency
among the different companies in the responses to questions 1
and 2, but distinct differences appear in questions 3a and 3b and
continue, though not always consistently, through the response

pattern to questions 4, 5 and 6. The high satisfaction ratings from plant 'J' to questions 1 - 4 are strangely at variance with the supporting comments which either express or imply considerable dissatisfaction where, for example, 'generally satisfactory' is ticked as the appropriate response. The responses from plant 'J' to questions 5 and 6, which are concerned with the frankness and interpersonal relationships between the respondents and their superiors, indicate the lowest level of satisfaction and show little congruence with the ratings from 'J' to questions 1 - 4. However, the supporting comments to questions 5 and 6 are consistent with and confirm the chosen ratings.

4.6.(i) Conclusions on discussions about current performance (Question 3a)

Satisfaction on this matter varied widely (100 - 42%). Responses from plant 'H' (42%) suggest that respondents feel that their superiors do not create sufficient opportunities for frequent informal discussions about performance, but tend to 'save it all up' for the formal annual review. Seven questionnaires returned from plant 'H' expressed concern about this particular problem. Typical of these were -

'Except for comments at the annual assessment there is little or no indication of your short-term performance.'

'I never see the superior who has most say in what work I will be doing next and I believe only an incomplete picture of what my team is doing gets to him; this is confirmed by the

decisions he makes which suggest that he is ignorant of what
is really going on.'

About 80% of the staff at plant 'H' are graduates and show
a high technical ability. The unit is heavily structured into
project teams which, though highly task oriented, discuss work
almost exclusively in terms of 'results' and rarely in terms
of 'personal contribution'. Discussions with project team leaders
and other specialists following this investigation suggest that
more frequent appraisals on the basis of both individual and
primary group performance, focussing attention on problems of
roles, relationships and interaction are likely to be introduced
in the near future. These will supplement, not replace, current
reviews of results. In division 'X' (56%) responses suggest that
two principal factors account for the comparatively low level of
satisfaction -

i)   Current transitional problems involved in moving
      from 'conventional' 'trait-rating' appraisal
      schemes to more 'results-oriented' M.B.O. approaches.

e.g. 'This should improve once my key tasks have all
      been defined'.

ii)   Problems arising out of long-established 'paired'
      relationships which are characteristic in some of
      the units of this particular division.

e.g. 'We have been in the department for ten years and
      he considers us to be permanent members of his staff.'

'I made it clear to my superior that I was generally content in the job and he therefore does not discuss work with me very much.'

At the other end of the scale, comparatively high satisfaction in plant 'A' appears to stem from the very frequent informal discussions about performance and the percentage performance rating scales introduced two years ago as a basis for both M.B.O. and executive job evaluation.

e.g.   'This is immediately brought to my attention by the Hay-MSL rating of my job and readily available contact with my superior for informal appraisals of my key tasks.'

4.6.(ii) Conclusions on discussions about future prospects (Question 3b)

In the sample, as a whole, 69% of respondents expressed dissatisfaction with opportunities to talk about their future. Extreme dissatisfaction was most evident in plant 'H' and division 'X' and, in particular, in the questionnaires returned from plants 'L' and 'K', while high concern was evident at plant 'M'.

To some extent it is unrealistic to expect firm promises about the future from any organisation, but as was indicated in section 4.5., the responses from these units confirm the findings

of the TI survey into the loss of qualified young managers and
specialists where dissatisfaction with future prospects was found
to be a principal cause of high graduate wastage.

Typical of the supporting comments received were -

'There is no indication of your longer term potential
or prospects'. (Plant 'H').

'I am quite unable to ascertain where my future prospects
lie, either within this company or the Group as a whole.
Direct questioning only produces evasive answers.'
(Plant 'L').

'Although I have been with 'L' for five and a half years,
I have never had a formal appraisal of my potential.'
(Plant 'L').

'The future is seldom ever discussed directly, consequently
it is distinctly hazy'. (Plant 'M').

From plant 'H' a very typical comment was -

'No clear picture of one's potential is readily offered -
the impression is that there is no such picture available.'

At plants 'G' and 'K' very little emerges from the supporting comments to indicate that factors other than the strength of the relationships between respondents and their superiors determines the respondents' perceived expectations and satisfaction about the future. A comment that announcements about vacancies within other parts of the Group do not appear on K's staff appointments notice board suggests that official staff development policies for the Group as a whole are not operating effectively and are not known at this and other plants in TI. Consequently, officially declared policies and advocated personnel practices in such matters as management development, individual career planning and staff succession appear to have failed to remove or supercede long-established 'fire-fighting' and largely fortuitous approaches to these problems.

In rather too many companies within the Group the development of an individual's potential, his career planning and thus future prospects still occur largely because his particular superior happens to take an interest in him and takes the necessary steps to ensure his future in the company. These conclusions would also seem to be confirmed by the findings from the survey of the 236 appraisal forms described in section 4.7 . Furthermore, from responses obtained from plant 'A' and discussions in follow-up interviews the introduction of amended personnel policies two years ago, based upon Group Staff Development Policy appears to be improving the extent to which managers at all levels formalise and discuss plans for the career progression of their subordinates -

e.g.   'My superior is always prepared to discuss my future with
       me.'

       'Though relations are strained between my superior and
       myself I have recourse to another member of the Board
       and feel that my future can be discussed openly and
       frankly.'

       'Regular appraisals of performance provide my chief and
       I with a basis for reviewing the future whenever this
       is necessary.'

4.6.(iii) Conclusions about extent to which respondents and their superiors discuss areas where improvements are needed (Question 4)

Taking the sample of 182 as a whole virtually two thirds
(65%) of the respondents indicated that their superiors pointed
out where they needed to improve performance. However, at plant
'L' all 5 respondents expressed dissatisfaction as did 44% at plant
'H'. Typical of the comments from plant 'L' (a research estab-
lishment) was -

       'My superior shows complete disinterest in anything apart
       from his own particular fields of interest.'

From plant 'H' which also develops largely exclusive areas
of specialisation among its highly qualified staff, of whom about
80% are graduates, came the following comment (expressed by eight
(25%) of the respondents from 'H') -

'This is only discussed at formal annual assessments.
More frequent guidance would be of benefit both to my
job and me personally.'

Where dissatisfaction was expressed in units showing a
comparatively high level of satisfaction the root cause of dis-
content generally lay within the 'paired' relationship of the
respondent and his immediate superior, e.g. -

'This matter normally resolves itself as - "do better-or
else!" There is little or no analysis or advice given.'
(Plant 'J').

'I am told in no uncertain terms where improvement is
needed. Regrettably it's usually after things have gone
wrong.' (Plant 'M').

'I doubt whether he knows.' (Plant 'M').

Occasionally, dissatisfaction occurred as a result of being
unable to improve performance because of lacking of backing from
other individuals or departments within the same organisation,
e.g. -

'The problem is aggravated because mine is a service
department and I am dependent upon key tasks being
completed by other functions.' (Division 'X').

'Really, I feel that events dictate how I perform and
most of my targets are based upon outside suppliers'
delivery dates and the quality of the material they
send us.' (Plant 'A').

'I can't think of any job that I and my staff do that
isn't profoundly influenced by people in other depart-
ments. We can define key tasks easily enough but I
would need an army of clerks logging performance
continuously to find out who is to blame when things
go wrong.' (Plant 'A').

To some extent these various comments reinforce the reality
that managers do not achieve results in isolation - they are
dependent upon other people both within and outside their own
departments. Moreover, some of the responses suggest that
immediate superiors may be major constraints upon their subordinates'
effectiveness and personal impact and that formalised systems,
however well conceived, depend ultimately upon the extent to which
they are successfully operated by individual managers.

4.6.(iv) Conclusions on frankness between respondents and their superiors over personal and behavioural influences upon performance (Question 5)

The overall rating of 63% satisfaction for the total sample
is considerably higher than the 'score' for plant 'J' (50%),
while from plant 'L' there is 100% dissatisfaction on the question

of mutual frankness.

Representative comments from respondents at plant 'J' include -

'Life is bloody enough anyway without making it any worse.'
(Senior executive immediately below Board level).

'I find lack of support from my superior is my biggest
problem.'

Moreover, two who rated the question of mutual frankness
satisfactory both stated that they were 'especially fortunate',
or a 'particular case,' implying that their relationships were
somewhat different from the rest of the organisation.

One clue as to why the level of satisfaction from plant 'J'
suddenly diminishes significantly over questions of frankness may
be in the following response -

'Personal factors are never discussed - this approach is
generally foreign to the attitude of my company and its
staff. I have little faith in the annual appraisal
since I feel it to be too insincere.'

It is difficult to say why this should be so (if, in fact,
it is an objective assessment of the situation) but it is
possible that the apparent inability may stem from the fact that
of the 308 managers and directors who have attended the seminars

on appraisal, where frankness is a prominent topic, only one has
ever come from plant 'J'. Furthermore, all the respondents from
plant 'A' (77% satisfaction) and Division 'X' (76% satisfaction)
had undergone training in appraisal at Woodbourne Grange and many
of them had been exposed to sensitivity training on longer
management courses at the TI Residential Training Centre.

From plant 'H' where 45% of respondents were dissatisfied
about the level of perceived frankness comments included -

'Such comments, when they do occur, are confined to the
formal annual assessment.'
(Similar views were expressed by seven respondents).

'We don't discuss these things - discussions are always
concerned with the "technical" aspects of our work.'
(Similar views were expressed by four respondents).

'My boss never creates the right environment for such
discussions.'
(This latter comment is very similar to four of the five
responses from plant 'L' where there was 100% dissatisfaction
over the lack of frank discussions with superiors).

The question of frankness is particularly important within
TI since the formal staff development policy statement issued by
the Chairman expressly states -

'Each member of staff is entitled to a regular and frank discussion about his current position and performance, his development needs and his future prospects.'

Moreover, frankness and the opportunity for frequent informal as well as formal exchanges about performance and the influence of working relationships upon joint effectiveness appear to correlate positively with actual performance results. In other words, effective performance is not merely a measure of mutually exclusive individual effort, or ability, but a reflection of the strength of working relationships. Furthermore, the strength of the relationship appears to be both influenced and, in turn, influences the extent to which personal and behavioural factors are discussed frankly on a two-way basis. (See the responses to question 6, discussed below).

4.6.(v) Conclusions on the extent to which discussions about personal and behavioural factors lead to improvements in working relationships and the job performance of the parties to those discussions (Question 6)

With a generally expressed satisfaction level of 56% plants 'H' and 'J' (49% and 50%, respectively) are low while at 68% each, plant 'A' and division 'X' show considerably higher satisfaction. Plant 'L' responses again indicate 100% dissatisfaction while the limited samples from plants 'G' and 'K' show satisfaction rates of 50% and 70%.

Typical comments from 'H' and 'J' (low satisfaction) include -

'My superior and I are such different personalities as to make this very difficult. In any case, informal discussions between us do not take place at all.' (Plant 'H').

'My chief is very dogmatic and although these things are discussed he invariably goes his own way, as "he knows best".' (Plant 'H').

'Performance appraisal is seen as a once-a-year chore whereby management has to see everybody. In my case there has certainly never been any sort of follow-up and informal discussions are always about the organisational aspects of the job.' (Plant 'H').

From Plant 'J' the following were representative attitudes -

'They don't occur hence the rating.' (Completely unsatisfactory').

'The only occasion this would ever be discussed (and then only for a limited time) would be at the annual appraisal.'

One very interesting response from plant 'K' indicated
that there might be practical limits to frank exchanges, i.e. -

'In so far as these discussions add to my effectiveness
they are completely satisfactory. More might help,
but only on a basis of diminishing returns.'

Overall, 163 of the respondents added supporting comments
to questions 1 - 4 whereas 148 amplified question 5 and 131
question 6. Question 6 was accompanied by the greatest number
of apparently inconsistent supporting comments and unusual
responses, e.g. -

'The frankness is generally one sided. What has transpired
in this direction has usually done so in public and has
not improved relationships - quite the reverse.' (Plant
'M') - rated 'completely unsatisfactory.'

'I spend a lot of time covering up on things which I
know would upset him, but which I personally consider to
be unimportant.' (Plant 'M') - rated 'generally satis-
factory.'

'The approach can be disguised in comments relating to
other personnel from which one can draw conclusions
regarding one's own behaviour' - rated 'generally
satisfactory' (Division 'X').

'I feel I improve and he doesn't'. (Division 'X') -
rated 'generally satisfactory.'

From plant 'A' however there was a general consistency
in the supporting comments to question 6, e.g. -

'As far as I am aware my senior is completely frank with
me. I believe I have derived a great deal of benefit
from these interviews. This was rarely done at 'A'
before performance appraisal was introduced.'

'As our relationship has an informal bias, discussions
can be undertaken freely. We both understand that only
by good relationships can we be effective.'

'We have a good understanding of what is expected from
each other.'

'No punches are pulled by either party and informal
discussions prove the best discipline to greater effort
and improved performance.'

From all plants came several comments which suggested that
many respondents felt that the value of the appraisal depended
to a large extent upon honesty and frankness and that if these
were absent then the usefulness of formal discussions, at least,
was severely limited, e.g. -

'Performance appraisal interviews in my personal experience are completely useless. The course (i.e. seminar on appraisal and counselling) convinced me that they can be extremely valuable but confirmed my belief that interviews in this company are quite inadequate.' (Division 'X' - 'completely unsatisfactory' ratings for both questions 5 and 6).

'There are 'black and white' attitudes at top management level which can influence the tone of appraisals further down the line.' (Plant 'H').

'I have never yet left an interview with my chief feeling that my questions have been answered fully. It is often painfully obvious that little preparatory thought has been given to the interview, or me.' (Division 'X' - 'generally unsatisfactory' ratings for questions 5 and 6).

Some respondents felt that formal appraisals can jeopardise otherwise successful working relationships, e.g. -

'I regard informal discussion about performance with both superiors and subordinates a necessary and vital part of everyday management, but have found the annual formal performance appraisal interviews unavoidably artificial, somewhat strained and in my opinion of doubtful value.' (Division 'X' - 'completely satisfactory' rating for questions 5 and 6.)

'Formal performance appraisal is generally unsatisfactory.
It is not necessary to stage a confrontation to resolve a
problem - this is best done informally. In formal meetings
people often feel a need for something to talk about and
irrelevancies get dragged in as makeweights.' (Division
'X' - 'completely satisfactory' rating for questions 5 and
6).

The fact that arguments 'for' and 'against' formal appraisal
appear to be almost balanced among the 182 respondents suggests
that the relationship between the appraisee and his chief is a
major determinant of -

i)   The appraisee's felt need for appraisal and
        counselling.

ii)   The extent to which he perceives appraisal and
        counselling interviews to be of value to him.

While frankness as a feature of interdependent relationships
is relative, not absolute, it is worth noting that favourable
attitudes towards future prospects in the company (question 3b)
were far more noticeable in questionnaires where 'completely' or
'generally satisfactory' ratings were given to questions 5 and 6
(frankness).

Where there was evidence of frequent informal contact
between respondents and their superiors in all but two cases were

the attitudes of respondents positive and favourable to their
chiefs, e.g. -

'I think that regular informal discussions about work are
an excellent idea. Because my boss is not so close to
the job as I am he is able to help me to look at things
in a fresh perspective.' (Plant 'J').

'In my experience meaningful informallity is the keynote
of our discussions. Personally I would welcome even
more opportunities for informal discussion with my
superiors about work topics. Such a situation enables
one to develop a broader concept of one's immediate
environment.' (Division 'X').

'Frequent informal discussions act as a monitor and help
us to put what would otherwise be isolated incidents in
the formal appraisal into their true context.' (Plant 'A').

'The formal interview must tie up the loose ends of
informal contact held as occasion demands. It should not
be an annual interview held in isolation.' (Division 'X').

'I find that informal discussions with my superior help
to develop a sense of involvement in the department's
affairs. Lack of such discussions in the case of my
previous boss produced the opposite reaction.' (Plant 'H').

These comments appear to crystallise the view expressed by many respondents that discussions about performance need to be on a continuing basis, at intervals appropriate to the needs of both individuals and work situations, not necessarily at pre-determined and infrequent occasions as is the traditional pattern.

The main reason for choosing formal appraisals given by the majority of the 20 respondents who expressed preference for them over solely informal discussion was that they acted as a form of discipline which made people give thought to issues which may be ignored in informal discussions. Generally speaking, more favourable comments about formal interviews came from respondents in plant 'M' and division 'X' who tended to sum up their additional comments as appraisers, rather than appraisees -

e.g. 'My subordinates and I have found it more beneficial to have formal P/A interviews at least twice a year. They provide an ideal opportunity to keep all concerned informed of future plans and policies. (Plant 'M').

'It (formal appraisal) is perhaps more useful than informal discussions since a definite time can be set aside for the meeting thus enabling interviewees, as well as interviewers, to prepare beforehand. In this way both parties have a chance to give thought to those things that they really want to raise.' (Division 'X').

It is interesting to compare the differences in expressed satisfaction among respondents from plant 'M' and Division 'X' in roles first as appraisees, then as appraisers to the questions of -

Discussing where improvements are necessary.

Mutual frankness.

Accepting frank comments and acting upon them.

i.e.

	Plant 'M'		Division 'X'	
	Attitude As Appraisee	Attitude As Appraiser	Attitude As Appraisee	Attitude As Appraiser
i) Pointing out where improvements are needed.	61% (Satisfaction)	91%	69%	93%
ii) Discussing personal and behavioural factors and work relationships.	75%	91%	76%	90%
iii) Following up frank discussions and improving matters.	56%	91%	68%	93%

Jointly, the respondents from plant 'M' and division 'X' constitute a sample of 59 respondents which, statistically, is perhaps small. However, the proportion in both companies

expressing greater satisfaction with appraisal in the role of
appraiser rather than as an appraisee would appear to justify
the conclusion, as Stewart(115) also found, that the interviewer
was more likely than the interviewee to think that the interview
had been a useful experience.

The considerably higher satisfaction as an appraiser is
very apparent from the supporting comments from some respondents,
e.g. -

i)   Question of pointing out where improvements are needed:
      (Plant 'M')

As Appraisee -

    'I am usually left to my own resources since no clear
        indication is given as to good or bad performance.'

Same respondent as Appraiser -

    'All problems that arise are discussed and dealt with
        immediately.'

ii)   Question of mutual frankness: (Plant 'M')

As Appraisee -

    'It would appear that my superior does not want ill
        feelings at any price. Therefore we do not discuss
        personal factors, etc.'

Same respondent as Appraiser -

    'We get on well with each other and can discuss any
        personal or other factors without bad feelings creeping
        in.'

i)   Question of pointing out where improvements are needed:
      (Division 'X')

As Appraisee -

      'The interview tends to be a haphazard affair with a sub-
      jective assessment of past and current performance with
      insufficient detail of measurement or future targets.'

Same respondent as Appraiser -

      'Perhaps my personal egotism, but such discussions are
      usually satisfactory.'

ii)   Question of mutual frankness: (Division 'X')

As Appraisee -

      'There is little or no communication between us on these
      points.'

Same respondent as Appraiser -

      'Most of them accept that criticism, constructive or
      otherwise, is intended to help them to improve in their
      jobs.'

iii) Acceptance of frank exchanges and follow-up, leading to
      improved performance: (Division 'X')

As Appraisee -

      'He does not appear to know anything about the above
      factors.'

Same respondent as Appraiser -

      'They find it useful and since we are a small department
      swopping opinions helps interpersonal relations. These
      aspects are discussed perfectly openly.'

Among the few respondents who indicated that they were
equally satisfied with appraisal - both as appraisees and
appraisers - the apparent reason for the consistency in satis-
faction was either -

Sound relationships with both superiors and subordinates.
Agreed and clearly defined work targets.
or - Both.

As the results of the survey of appraisal forms also
confirms, the joint clarification and agreement of objective
measures of performance tends to provide a focal point and
common ground for expressing personal shortcomings in terms of
inadequate performance against expected results. However,
results from plant 'M' and division 'X' suggest that respondents
as appraisers tend to judge the success or usefulness of the
appraisal in terms of the degree to which they were able to
establish 'open', frank relationships with their subordinates.
More specifically, they appeared to consider appraisal worthwhile
where subordinates were perceived to be responding positively
to criticism, though five of the respondents referred to mutual
target-setting as being a factor which enhanced the value of
appraisal from their subordinates' point of view.

When considering performance appraisal from the standpoint
of an appraisee, the majority of respondents saw the usefulness
of appraisal and counselling being determined by the extent to
which -

i)   They gained fresh insights into their superiors'
expectations of them.

ii)   Job objectives and standards of performance were
clarified and agreed with superiors.

iii)   Work problems could be resolved as the result of
frequent, largely informal contact, with their
superiors, particularly, were perceived to be
'readily available' and 'helpful.'

iv)   Mutual frankness characterised their working
relationships with their superiors (only 5 out of
182 mentioned peer-groupings as a constraint upon
their job effectiveness).

Though i - iv represented the expectations of many of the
respondents from plants 'H' and 'L' (computer unit and research
establishment) as well as those from the conventional production
and processing companies, there were certain criteria which
determined the perceived value of appraisal at plants 'H' and 'L'
to a far greater degree than elsewhere.

The majority of respondents from these units were young
(under 35), qualified (mainly graduates) and had been recruited
under the Group graduate training scheme where either expressly or
implicitly future prospects were initially perceived to be good.

Most of these young men are vocal, intelligent and articulate specialists pursuing areas of activity in some depth in working environments which are more competitive than those in the other plants. Not only are the expectations of qualified intelligent 'professionals' likely to be generally higher than those of line and functional managers but so too is there a likelihood of greater impatience and dissatisfaction if expectations are not fulfilled.

The criteria by which they appeared to judge the usefulness of appraisal which, though not exclusive to plants 'H' and 'L', were far more in evidence at these two units were -

i)   The extent to which appraisal, in particular, and
     work relationships in general, were perceived as
     a means of fulfilling personal ambitions and
     achievement needs.

ii) The degree to which their immediate superior was
     'technically' competent in their particular
     specialism.

Whereas affiliation needs and affective responses figured prominently in the degree to which respondents from plants 'A', 'G', 'J', 'K', 'M' and 'X' perceived appraisal to be a satisfying and useful experience, achievement needs predominated in the response patterns from plants 'H' and 'L'.

Thus, while interpersonal competence and socially supportive relationships appear to be significant factors in face-to-face appraisal and counselling there appears to be, from this attitude survey, a considerable expressed need for work relationships which further people's attainments. The extent to which attainments involve personal goals or task accomplishment will undoubtedly vary from one individual to another. What is clear, is that for a significant number of people from this survey appraisals must, of themselves, produce results - using them largely as 'griping' sessions or, alternatively, as friendly exchanges was not enough. As one respondent from plant 'H' put it -

'A free atmosphere and friendly relationships allow for opportunities for informal discussion, but I doubt whether cosy dialogues alone will improve results.'

ANALYSES OF CONTENTS OF 236 APPRAISAL FORMS IN EIGHT COMPANIES (1)

		Coy. 'B' (27*)	Coy. 'C' (50)	Coy. 'D' (36)	Coy. 'E' (38)	Coy. 'F' (20)	Coy. 'G' (25)	Coy. 'J' (20)	Coy. '?' (20)
STRENGTHS:									
i)	Concise statements of perceived, specific strengths and/or effective behaviour which led to successful achievements or effective performance.	13%**	12%	8%	0	0	12%	0	0
ii)	Statement of perceived strengths with some suggestion of how these might have contributed to effective performance/attainments	33%	36%	19%	18%	45%	20%	25%	20%
iii)	Reference to positive personal qualities, but no statement of performance or specific achievements.	41%	32%	56%	63%	45%	52%	65%	65%
iv)	No reference at all to strengths, successes or achievements.	13%	20%	17%	19%	10%	16%	10%	15%
WEAKNESSES:									
v)	Concise statements of perceived, specific weaknesses and/or ineffective behaviour which resulted in shortfalls in performance.	13%	12%	0	0	5%	12%	0	0
vi)	Statement of perceived weaknesses and some suggestion of how these might have contributed to ineffective performance.	24%	14%	8%	0	15%	8%	20%	10%
vii)	Reference to negative personal qualities, with no statement of ineffective performance.	41%	12%	19%	46%	25%	32%	30%	45%
viii)	No reference at all to weaknesses, failures or shortfalls in performance.	22%	62%	73%	54%	55%	48%	50%	45%

ANALYSES OF CONTENTS OF 236 APPRAISAL FORMS IN EIGHT COMPANIES (1) CONT'D

	Coy. 'B' (27*)	Coy. 'C' (50)	Coy. 'D' (36)	Coy. 'E' (38)	Coy. 'F' (20)	Coy. 'G' (25)	Coy. 'J' (20)	Coy. ' ' (20)
TRAINING AND DEVELOPMENT NEEDS:								
ix) Clearly defined training/develop needs, with specific proposed courses of action, including time scales for completion.	22%	28%	6%	0	20%	4%	5%	0
x) Suggestion/implication of training/ development need with suggested course of action.	38%	26%	36%	26%	45%	64%	25%	10%
xi) Recommendations for attendance on courses (generally unspecified) and no reason given for attendance.	29%	32%	42%	39%	25%	24%	40%	50%
xii) Absence of any proposed training/ development action whatsoever.	11%	14%	16%	35%	10%	8%	30%	40%
JOB TARGETS:								
xiii) Agreed, specific job targets set for achievement within specified time scales.	26%	38%	0	3%	65%	32%	5%	20%

* Size of sample in each company
** Percentage occurence in sample.

ANALYSES OF CONTENTS OF 236 APPRAISAL FORMS IN EIGHT COMPANIES (2)

	Coy. 'B'	Coy. 'C'	Coy. 'D'	Coy. 'E'	Coy. 'F'	Coy. 'G'	Coy. 'J'	Coy. 'N'
ESTIMATED CURRENT EFFECTIVENESS OF APPRAISEES:								
i) Outstanding	7%	4%	11%	8%	5%	0	0	0
ii) More than adequate	63%	80%	39%	64%	65%	36%	30%	50%
iii) Adequate	26%	14%	42%	24%	25%	64%	60%	40%
iv) Barely adequate	0	0	0	4%	0	0	10%	0
v) Has not been in job long enough to assess	4%	0	2%	0	5%	0	0	10%
vi) No estimate given	0	2%	6%	0	0	0	0	0
PRESENT EXTENT OF PROMOTABILITY:								
vii) Ready now	44%	34%	25%	26%	0	16%	15%	35%
viii) Not quite ready	52%	38%	53%	42%	45%	24%	50%	50%
ix) Far from ready	4%	12%	16%	24%	40%	0	0	0
x) Not promotable	0	0	0	0	5%	52%	20%	5%
xi) Underdetermined	0	10%	0	8%	10%	8%	5%	10%
xii) No indication given	0	6%	6%	0	0	0	10%	0
ESTIMATED PROBABLE CEILING:								
xiii) Divisional Board or Company M.D.	0	0	0	0	0	0	0	0
xiv) Director of Operating/Service Company	11%	16%	3%	0	10%	0	0	0
xv) Senior Executive	33%	24%	47%	21%	65%	8%	5%	5%
xvi) Departmental Manager	33%	22%	44%	34%	15%	36%	5%	55%
xvii) Junior Manager	18%	4%	3%	18%	5%	56%	35%	40%
xviii) No estimate given	5%	34%	3%	27%	5%	0	50%	0

ANALYSES OF CONTENTS OF 236 APPRAISAL FORMS IN EIGHT COMPANIES (2) CONT'D

	Coy. 'B'	Coy. 'C'	Coy. 'D'	Coy. 'E'	Coy. 'F'	Coy. 'G'	Coy. 'J'	Coy. 'N
EXTENT TO WHICH APPRAISEE'S VIEWS ON HIS FUTURE WERE RECORDED:								
xix) Concise statements indicating line of career development and probable time scales	44%	30%	8%	3%	20%	0	5%	10%
xx) Specific areas of interest with some indication of time scale	33%	54%	39%	21%	60%	48%	35%	45%
xxi) Broad statements of area of interest, but without time scales	23%	16%	31%	64%	20%	48%	50%	35%
xxii) No record of appraisee's views (if any) on his future in the Company ...	0	0	22%	12%	0	4%	10%	10%

ANALYSES OF CONTENTS OF 236 APPRAISAL FORMS IN EIGHT COMPANIES (3)

Degree to which comments on Appraisal Forms were concise and specific - i.e. 'Quality' of appraisal.	% Per Category
STRENGTHS:	
i) Concise statements of perceived, specific strengths and/or effective behaviour which led to successful achievements or effective performance.	7%
ii) Statement of perceived strengths with some suggestion of how these might have contributed to effective performance/attainments.	27%
iii) Reference to positive personal qualities, but no statement of performance or specific achievements.	49%
iv) No reference at all to strengths, successes or achievements.	17%
WEAKNESSES:	
v) Concise statements of perceived, specific weaknesses and/or ineffective behaviour which resulted in shortfalls in performance.	5%
vi) Statement of perceived weaknesses and some suggestion of how these might have contributed to ineffective performance.	11%
vii) Reference to negative personal qualities, with no statement of ineffective performance. No basis upon which to plan personal development.	28%
viii) No reference at all to weaknesses, failures or shortfalls in performance.	56%

ANALYSES OF CONTENTS OF 236 APPRAISAL FORMS IN EIGHT COMPANIES (3)

Degree to which comments on Appraisal Forms were concise and specific - i.e. 'Quality' of appraisal.	% Per Category
TRAINING AND DEVELOPMENT NEEDS:	
iv) Clearly defined training/develop needs, with specific proposed courses of action, including time scales for completion.	12%
x) Suggestion/implication of training/development need with suggested course of action.	33%
xi) Recommendations for attendance on course (generally unspecified) and no reason given for attendance.	35%
xii) Absence of any proposed training/development action whatsoever.	20%
JOB TARGETS:	
xiii) Agreed, specific job targets set for achievement within specified time scales.	22%
EXTENT TO WHICH APPRAISEE'S VIEWS ON HIS FUTURE WERE RECORDED:	
xiv) Concise statements indicating line of career development and probable time scales.	16%
xv) Specific areas of interest with some indication of time scale.	41%
xvi) Broad statements of area of interest, but without time scales.	35%
xvii) No record of appraisee's views (if any) on his future in the company.	8%

ANALYSES OF CONTENTS OF 236 APPRAISAL FORMS IN EIGHT COMPANIES (3)
CONTINUED

Estimated current effectiveness and potential of appraisees.	% Per Category
ESTIMATED CURRENT EFFECTIVENESS OF APPRAISEES:	
Outstanding	5%
More than adequate	56%
Adequate	33%
Barely adequate	2%
Has not been in job long enough to assess	2%
No estimate given	2%
PRESENT EXTENT OF PROMOTABILITY:	
Ready now	26%
Not quite ready	42%
Far from ready	20%
Not promotable	1%
Underdetermined	6%
No indication given	5%
ESTIMATED PROBABLE CEILING:	
Divisional Board or Company M.D.	0
Director of Operating/Service Company	6%
Senior Executive	32%
Departmental Manager	33%
Junior Manager	13%
No estimate given	16%

4.7. Analyses of Contents of 236 Appraisal Forms in Eight Companies

4.7.(i) The Sample and Collection of Data

The 236 management appraisal forms which were analysed were taken from eight manufacturing, processing or research and development plants. Plant 'E' (R&D) is the smallest and consists of approximately 200 research, development and technical staff. Plant 'C' is the largest and is a manufacturing company of about 3,000 employees. The remaining units are all small/ medium-sized companies engaged in the manufacture of steel tubular products, fabrication of aluminium sheet or the processing of alumina and industrial chemicals.

The most senior people whose appraisal forms were analysed are classed as 'senior executives' e.g. plant managers. At the other end of the scale were those classed as 'junior management' - e.g. assistant departmental heads or section leader engineers. The age ranges of the 236 managers were as follows -

Plant	'B'	'C'	'D'	'E'	'F'	'G'	'J'	'N'	TOTALS
Age 24 - 29	9	21	2	16	4	4	5	7	68
" 30 - 39	12	10	17	11	10	2	5	5	72
" 40 - 49	6	14	11	10	5	7	7	3	63
" 50 - 59	0	5	6	1	1	12	3	4	32
" 60 + ...	0	0	0	0	0	0	0	1	1
	27	50	36	38	20	25	20	20	236

4.7.(ii) Identification, Analysis and Classification of the Data

The data was identified, analysed and classified on the appraisal forms under the following headings -

    i)   Strengths.

    ii)   Weaknesses.

    iii)   Training and development needs with agreed
            courses of proposed remedial action.

    iv)   Targets agreed and set.

    v)   Estimated current effectiveness of appraisee.

    vi)   Present estimated extent of promotability
            (within next two/three years).

    vii)   Estimated probable ceiling.

    viii)   Extent to which appraisee's views on his
            future were recorded.

As the summarised data in tables (1) and (2) shows, the recorded information was classified qualitatively in terms of -

    i)   Conciseness and degree of specificity in problem
            definition.

    ii)   Perceived relevance of causal relationships in
            problem areas.

    iii)   Conciseness and degree of specificity in proposed
            courses of action.

4.8.   Findings and Conclusions from the Survey of the Appraisal Forms

As is evident from the data, the 'quality' of the assessments and information on the appraisal forms varies widely. Taking the assessment of strengths as an example, at one end of the scale are concise definitions of perceived strengths, or effective behaviour, which are clearly related to specific successful achievements or effective performance, e.g. -

'"X" excels in face-to-face situations. In negotiations with the unions he has demonstrated first class tactical ability albeit to a good perception of the elements and subsequent repercussions of a dispute or claim. His interviewing techniques are thorough and apparently successful and it is to his credit that he is training his subordinates to a similar level of professional competence. He must, however, learn to work more as a member of a team and ensure that his objectives are aligned more closely with those of his colleagues. He must also take more seriously and devote more thought to the other, less spectacular work of the department, e.g. information returns to department "Y".' (Plant 'B' - senior manager).

At the other extreme, were vague, meaningless references to personal characteristics or even 'total' personalities, e.g. -

'Mr. 'A' is a good man, but needs a little more push.' (Plant 'D' - middle manager).

'"B" is a bit weak in leadership, but time will probably cure this.' (Plant 'C' - middle manager).

Though there are marked disparities between the 'quality' and relevance of the comments of different appraisers within the same company there are, nevertheless, distinct patterns which distinguish the approach to appraisal and, thus to some extent, the 'style' of management prevalent within an organisation. It is obviously difficult to define the root causes of such differences with any certainty, but the responses to the questionnaire, described in sections 4.5 and 4.6 and which represent complementary data to that provided by the survey of the appraisal forms, suggest that the 'culture' of a company and managerial style, particularly its approach to appraisal, may be influenced by -

i) The manufacturing technology or process and, therefore, the extent to which managers feel they control events or, conversely, are controlled by their environment.

ii) The extent to which the 'mirror-image' is a significant factor - i.e. how far top management attitudes are seen as an influence and produce reflected behaviour further down the line.

iii) The predominant age range and aspiration/
expectation levels e.g. plant 'L' and
plant 'H' contrasted with those apparent
in plants 'A', 'G', etc.

iv) The extent to which job objectives and
acknowledged 'measures' of performance are
actively used.

v) The degree to which personnel policies –
particularly those involving staff development,
individual career progression and management
succession are formalised, made explicit and
communicated to all concerned.

From the data contained in tables 1, 2 and 3 the following
findings emerge –

i) In all companies there was a marked tendency
to assess people generously and sometimes rather
incongruently, e.g. 56% of forms contained no
references whatsoever to weaknesses (in one
company, 73% contained no such reference). 2%
only, were rated as 'barely adequate.' In 61%
appraisees were rated as 'outstanding' or 'more
than adequate'. On the other hand, 63% were
assessed as 'not being ready for promotion' and
only 38% were considered as being probably

suitable for any position above departmental
manager level, yet 59% of the sample were
aged between 24 and 39, with most of their
careers still ahead of them.

ii)   Generally, where target-setting was widely
practised there appeared to be, with some
anomalies -

a)   Greater conciseness in definition of
strengths, weaknesses, perceived training
needs and proposed development action.

b)   More evidence that the appraisee's views
on his future were discussed in depth
and recorded on his appraisal form.

- In other words, the practice of agreeing targets
generally appears to provide both appraisers
and appraisees with appropriate parameters
within which to plan personal development as well
as job performance. Additionally, joint target-
setting appears to show some evidence that it
creates focal points for discussion between
appraisees and appraisers, e.g. -

Plant	'B'	'C'	'D'	'E'	'F'	'G'	'J'	'N'
% of appraisal where job targets were set	26%	38%	0	3%	65%	32%	5%	20%
% concisely defined strengths, related to effective performance	13%	12%	8%	0	0	12%	0	0
% concisely defined weaknesses, related to inadequate performance	13%	12%	0	0	5%	12%	0	0
% concise statements of proposed, specific development action	22%	28%	6%	0	20%	4%	5%	0
% concise statements of appraisee's own views on his future/career development	44%	30%	8%	3%	20%	0	5%	10%

iii)   Generally, where there was most evidence of training
needs being discussed, defined and followed up
and encouragement of appraisees to talk about
the future, there were correspondingly lower
rates of qualified younger men leaving the
company, e.g. -

Plant	'B'	'C'	'D'	'E'	'F'	'G'	'J'	'N'
% concise statements of proposed, specific development action ..	22%	28%	6%	0	20%	4%	5%	0
% concise statements of appraisee's own views on his future/career development	44%	30%	8%	3%	20%	0	5%	10%
% of qualified younger men who left in same year	0	10%	30%	60%	N/A	N/A	N/A	50%

iv)   55% contained either no reference whatsoever

to training and development needs, or consisted

of rather meaningless, stereotype phrases such

as -

'Could do with a management course.'

or -   'A technical course in his field might be useful.'

Plants 'B', 'C' and 'F' have all sent large numbers

of managers to Woodbourne Grange and the level

of specificity both in defining development needs

and determining how, where and when they should

be met was noticeably higher in these units.

v)   Plants 'F' and 'J' are in a different division

from companies 'B', 'C', 'D', 'E', 'G' and 'N'

and generally reflect greater conservatism in

both their estimates of present promotability

and likely promotion ceilings.

Although target-setting is practised in both
- particularly in plant 'F' - there are
comparatively poor attempts at defining
specific weaknesses and strengths, i.e. there
appears to be a greater reluctance among
managers to commit themselves in these units
and to lower sights somewhat.

In part, this may be related to the comparatively
poorer profitability records of these two units
and to the styles of managing which have been
characteristic of plants 'F' and 'J' for several
years.

vi)   The estimates of current promotability and ultimate
potential in plants 'G' and 'J' suggest that
in the future these two companies will
experience considerable succession problems at
the top of the management structure, i.e. -

	'G'	'J'
Promotability:		
Not promotable	52%	20%
Ultimate Potential:		
Senior executive	8%	5%
Age Spread:		
50+ years	48%	15%

The problem may be alleviated in 'G' by the
high proportion of appraisal forms containing
concise proposed or suggested courses of
development action - 65%. However, in plant
'J' only 30% of the forms provided any real
indication of training needs and how they
should best be met.

The overall impression is that only about 20% of the
appraisal forms analysed provided the information necessary for
-

i)   A valid and practical working agreement between
appraiser and appraisee.

ii)   A valid basis from which to derive defined,
rather than assumed job training and career
development needs.

iii)   Central Personnel Department records which, in
turn, provide information for a divisional and
company management audit and succession plans.
In this way, inter-divisional and inter-company
transfers and promotions are made to try to
ensure that the career potential needs of
individuals and company needs are matched as
best as possible.

In some units, plant 'E', for example, where 60% of the younger, qualified staff emerging from their training period left within one year of the completion of that training, not one of the 38 appraisal forms examined met needs i - iii (above). Even in the 'best' companies - plants 'B' and 'C' - only about 30% - 35% of the forms fulfilled their intended purpose.

Staff in the Central Personnel Department felt that, by and large, many of the appraisal forms coming in to them from the companies were 'little more than worthless'. A considerable amount of time was taken up by telephone calls and correspondence, between Central Personnel Department staff and individual appraisers in the operating companies, in order to clarify and enlarge upon what was contained (or not contained) in many of the appraisal forms.

There is, moreover, ample evidence from the recent survey into graduate wastage to suggest that poor appraisals - or the apparent lack of any appraisal at all - are a contributory factor to dissatisfaction with present and future prospects. Moreover, the report(116) stated -

'We would like to see specific action to ensure that all establishments actually carry out annual assessments. We are disturbed by the evidence that in some cases graduates are unaware of having been assessed. This clearly defeats the aim of the (Staff Development) Policy.'

The evidence from the writer's research is that between
55% - 60% of the appraisal forms examined are largely worthless
and that <u>formal training in the interprelation and compilation
of such documents is a vital and urgent problem within TI</u> as
would appear from the evidence, is the need for central and
divisional personnel departments to examine, review and overhaul,
where necessary -

    i)   The scope of Group Staff Development Policy.

    ii)   The nature and success of its implementation.

    iii)   Currently emerging/evolving approaches to
           'accountability' management.

    iv)   The job guides and action plans being developed
           for individual managers.

    v)   The content and formal of appraisal forms in
           current use.

Furthermore, the evidence from this research suggests
that it is not enough to announce the intention or even existence
of a personnel policy. In order to be felt to be effective it
must be understood, acknowledged and put into practice by those in
charge of people who are intended to be included in such a policy.
To appreciate the significance of staff development, particularly
the personal accountability for implementing it successfully,
evidence indicates that managers need an opportunity to study its
application and implications in depth - an explanatory memo from
the personnel department, however carefully worded, is not enough.
The relationships between defining and agreeing work results,
monitoring and appraising performance and implementing follow-up

action are logical enough, but the significance of appraisal and counselling in manager-subordinate relationships may not be so apparent. From both the research into the extent to which managers perceived appraisal to be useful and the survey of the appraisal forms, evidence suggests that appraisal and counselling were far more effective in those organisations where large numbers of managers had studied these issues in depth - either on the Woodbourne Grange Seminars, or on special in-plant courses. Thus, while training courses are, in themselves, no guarantee of improvements in managerial competence, there is some evidence to suggest that following training a transfer of learning to the work situation and working relationship has taken place, resulting in a more positive and better informed approach to appraisal and counselling.

5.   PERFORMANCE APPRAISAL: AN OVERVIEW

The main overall impression from the research is that
performance appraisal is both far more important and more complex
than was previously believed. Its significance is underlined by
the high dissatisfaction and staff turnover where it is not carried
out - or, at best, done badly. Its complexity, arising out of its
obvious reflection of the health of work relationships, is
apparent from the polarisation of attitudes found in all of the
companies in which the research was undertaken. Since the various
plants operate in a variety of different markets - often with
little common ground between them - it is unrealistic to compare
the profitability of the companies and thus attempt to equate
effective appraisal with high operational efficiency and vice-
versa. Nevertheless, it is possible to relate the effectiveness
of appraisal and counselling to the prevailing 'styles' of manage-
ment in the various plants and, in turn, to correlate these with
such manifest indications of the general 'health' of a company
as -

> Staff morale, expressed in expectations and attitudes
>   towards the future.
>
> Staff turnover rates.
>
> The extent to which management development and planned
>   succession take place.
>
> The degree to which work relationships appear to
>   influence the outcome of results.

It is not the intention in this section to attempt to produce a table of 'thrusters and sleepers' among the TI companies. However, certain patterns of behaviour are emerging which appear to characterise more effective styles of managing and which distinguish between companies with high growth rates and those which are the less successful enterprises in the TI Group, eg. --

i) Increasing use of more refined and accurate methods of planning and control, which presuppose effective means of monitoring managerial performance.

ii) Introduction, in depth, of 'accountability' management so that requisite individual contribution may be clarified, agreed and related more positively to defined corporate goals.

iii) The appearance -- albeit in embryonic form only -- of attempts at more participative approaches to managing.

Furthermore, the TI Group as a whole has shown significant increases in its overall growth rates over the last two years. Current return on capital employed represents a 4% increase over 1968/69 and is the highest for many years. In terms of size, TI moved in 1969 up to 90th place from its 95th ranking of 1968, according to 'Fortune's' listing of the world's top 200 organisations outside the U.S. Moreover, TI 'grew' five places in a period of considerable

sluggishness within the British economy and at a time when many
of its major competitors, or comparable organisations in the U.K.
remained virtually static and when some of its major competitors
abroad, in more dynamic economies, showed 'negative' growth rates,
e.g. - .

Within U.K. -

British Steel .... No change

G.K.N. .... + 1

Abroad -
(Germany)

Rheinische Stahlwerke .... - 6

Mannesmann Tube .... - 6

(France)

Schneider .... - 6

The introduction into TI of 'Key Task Planning' at top
level and its percolation down through the organisation has
undoubtedly contributed to the current growth rate which was not
simply brought about as a result of mergers or take-overs. Key
task planning, translated at personal levels into accountability
management, represents an approach which is associated with the
styles of the best of this generation's managers. It is an
approach which needs to be in the 'bloodstream' of an organisation,
not simply a secondary procedure superimposed upon long-entrenched
management practices. Seen as a recurring cycle of stages and
elements the process looks like this -

Stage	Elements
1. ESTABLISH OBJECTIVES:	Collect data.
	Analyse and synthesise data.
	Determine aims and priorities.
	Evolve strategies.
	Plan their implementation.
2. DIRECT ATTAINMENT OF RESULTS:	Determine resources and controls.
	Organise resources and controls.
	Communicate.
	Motivate.
	Direct, guide and counsel.
3. MEASURE RESULTS:	Monitor performance.
	Measure performance.
	Evaluate performance.
	Counsel.
	Control.

It is thus within an environment of growth and evolving results-oriented approaches to management that performance appraisal needs to be considered in Tube Investments. It is in such a context that appraisal and counselling have been examined in this research thesis.

5.1. The Influence of Personal Relationships upon Appraisal and Counselling

Much of this thesis has been devoted to exploring the implications of face-to-face confrontation between managers and their immediate subordinates or superiors. Many questions, inevitably, remain answered, not the least of which are -

i)   How can managers be motivated to appraise objectively and counsel thoroughly those subordinates with whom they have difficult relationships?

ii)   How can appraisees be motivated sufficiently to improve their performance and strive for personal development?

Gellerman's assertion(117) quoted previously on page 34 that performance appraisals are only as sound as the relationship that precedes them appears to be a generally valid conclusion. This view is repeatedly borne out by the evidence from the research into attitudes towards appraisal carried out in TI. Clearly, appraisers cannot be ordered to appraise objectively, neither can appraisees be directed to develop themselves. The basic problem is not necessarily that people must like each other in order for successful appraisal, counselling and follow-up action to take place despite the evidence which suggests that judgmental behaviour is likely to be more effective when rapport is established

between appraiser and appraisee(118). Evidence(119) from the
behavioural sciences suggests that inappropriate assumptions
about human behaviour - particularly motivation - lie at the
root of most ineffective managerial strategies. Undoubtedly,
inter-personal competence is becoming a formal requirement of the
effective manager and a manager's model of man, reflecting to some
extent his own self-image and value system, will influence his style
of managing those under him. There are thus considerable psycholog-
ical pressures involved in appraising people, but as McGregor(120)
and Blake, Mouton and Blansfield(121) suggest, formalised appraisal
procedures impose moral pressures which may militate against full
and frank confrontation. There are, for example, many ethical
norms which are deeply rooted in Anglo-Saxon culture and which may
influence what is said and how it is said when one man has been
put into the position of having to assess the contribution of
another, i.e. -

i)   Norms designed to protect the feelings of
        others:
        i.e. 'Don't say anything if you can't say
             something nice.'
             'Don't criticise if you can't provide
             a constructive alternative.'

ii)   Norms designed to enhance self-protection and
        preserve the status quo:
        i.e. 'Let sleeping dogs lie.'
             'Don't rock the boat.'

Paradoxically, there are opposing norms which appear to support
openness in dealings with others, e.g. -

> 'Always call a spade a spade.'
> 'Don't pull any punches.'
> 'Straight from the shoulder.'

Moreover, it is difficult to see how the inhibiting effects of
these ingrained values can be reduced so long as appraisal
discussions are seen in the context of an interview. Personal
confrontation, particularly between individuals whose work relation-
ship is based upon mutual interdependence and the joint attainment
of task objectives, is potentially the most effective way of
appraising both performance and future prospects. Its value,
however, may be severely diminished by the connotations of the
word 'interview', so frequently used to describe such meetings.
Increasingly, it is coming to be felt both incongruent and anachron-
istic, in paired relationships, to be 'called in for interview'.
Writing of the emotional reaction likely to be aroused by the term
'appraisal interview', Turner(122) states -

> 'The subject is confidential and the occasion is important.
> The interviewee is often in a less strong position than
> the interviewer.
> The matter on hand has a distinctly personal or individual
> flavour.'

There is thus a strong risk that the behaviour of both
interviewer and interviewee will be somewhat artificial and
ritualistic, resulting in less effective interaction. The sense
of inequality may give rise to exaggeratedly defensive behaviour
and a process of leap-forgging, whereby each may become more
preoccuppied with gaining and maintaining tactical advantages,
rather than with working through the real issues on hand. Finally,
the personal sense of occasion attaching to a formal interview may
bring with it a feeling of being 'on the mat', or under the
microscope. In itself, exposure is not a bad thing, but it is
largely one way, the attendent feelings of inequality, threat, or
resentment are likely to militate against frank exchanges.

Much of the satisfaction with performance appraisal
expressed by some respondents in Plants 'A', 'C', 'J' and Division
'X' was reflected in remarks which indicated that appraisal and
counselling were largely informal and often almost on a day-to-day
basis. In such relationships, the annual appraisal tended to be
a formalised drawing together of loose ends, a summing up or a
natural consequence of frequent discussions which had taken place
throughout the year. In some companies, particularly plants 'E',
'G' and 'N', appraisal was frequently seen as an annual chore which
had to be gone through so that a manager could claim to have
fulfilled his responsibilities for appraising his staff for that
particular year. Having filled in the appraisal forms, which were
generally discussed briefly, but rarely shown to the appraisee,
managers in these companies tended to assume that at the conclusion

of the interview, their obligations for developing their subordinates
had ended until review time, twelve months hence. Formality,
for its own sake, has little place in many management relationships
and the sense of occasion which surrounds incongruously formal
encounters in an otherwise largely informal relationship may delude
the interviewer into believing that his pious platitudes have been
accepted as words of wisdom and encouragement by his hopefully
receptive subordinate. There are obviously some successful working
relationships where, as Wright(123) suggests, the respect is
'unilateral' rather than mutual, i.e. where one (the superior)
advises, persuades and controls significantly more than the other.
In such relationships some formality is more likely to be an
accepted, natural and necessary function of successful communication
and interaction not a contrived and temporary parody of normal
behaviour.

The 'chemistry' of social interaction is a complex subject
with so many variables that it is impossible to apply definitive
laws. However, evidence from the survey would seem to suggest that
the following are among the preconditions necessary to effective
work relationships -

i)   A common understanding of the scope, accountabilities
      and constraints of their respective roles.

ii)   A common understanding of what is involved in
      specific tasks and how these can best be achieved.

iii)   Frames of reference which are sufficiently broad or common to enable each to appreciate the problems facing the other.

iv)   Sufficient opportunities for monitoring the progress of work and the extent to which agreed targets are being met.

v)   Acknowledgement and acceptance that reviews of performance must, to be realistic, be based upon mutual, rather than wholly unilateral evaluations and that the contributions of superiors, as well as subordinates require to be examined.

vi)   Recognition that an effective, constructive dialogue is likely to be more productive than perpetual unanimity of views.

5.2. Improving Appraisal Systems

While, generally speaking, there is a great deal of dissatisfaction with both appraisal as an aspect of superior/ subordinate relationships and as a feedback system necessary for the management of human resources there is usually a strongly expressed need for the sort of information that appraisals are meant to provide. In large companies, for example, people may become 'lost' to the organisation simply because the size and

complexity of the management hierarchy and the absence of an

effective managerial 'audit' means that succession planners may

not get the data necessary to keep their personnel records up to

date. Equally, assessments about current effectiveness are vital

to ensure that salary increases are realistically related to contri-

bution and effort. Moreover, while there is some evidence(124)

that successful, ambitious managers are not over-concerned with

appraising their subordinates they are, according to McClelland(125),

actively concerned to get feedback on their own performance and

effectiveness - what is more, they appear to be prepared to act

upon such information provided they consider it relevant.

If performance appraisal, as part of the overall process

of managerial control, is to be effective assessments must be based

upon accurate relevant and valid data which is representative of the

assessee's behaviour and which reflects the reality of his environ-

ment. As Husband(126) indicates, managers need to be made aware

that their appraisals take place primarily to provide information

for necessary decisions to be made. They therefore need to have a

common understanding of the criteria of performance and scales of

measurement in use. The results of the research carried out in TI

suggest, however, that few of the companies involved placed much

value on accurate, objective assessments. In some cases, particularly

in Plants 'E', 'L', 'M', 'N' and Division 'X', there is much

evidence which confirms that, because of prevailing management

styles and attitudes, performance appraisal was simply just not

considered by managers as a practical means of improving managerial

performance. From the responses in some of the companies it was
obvious that agreeing work targets and appraising performance were
looked upon as 'optional extras' and were not appreciated as being
fundamental to the philosophy and practice of management. At best,
they were seen as being 'techniques' or 'record systems'. In
Plants 'E', 'H' and 'L' evidence indicates that since long-term
work objectives tended to be either rather vague, or too grandiose
they were sacrificed in order to meet supposedly specific immediate
or short-term goals. In some cases, these apparently accurate
targets were either introduced to add precision to woolly long-term
goals or to meet external pressures which were allowed to subordinate
the explicit or implicit on-going objectives of departments,
sections and individuals. In other words, evidence indicates that
in some plants there was considerable short-term 'sub-optimisation'
of work goals at the expense of long-term effective performance.
Too frequently, responses suggest that specific targets were -

> i)   Set in isolation without due regard for the
>   context or environment in which they were to
>   be attained - e.g. extant relationships, resources,
>   controls and practices were often ignored or,
>   at best, dangerously over-simplified.

> ii)   They were imposed upon, rather than agreed with
>   the manager accountable for achieving them.

iii)　　　In less than 10% of the total sample was there
any evidence that targets were <u>expressly</u> related
to the individual's self-actualisation needs,
indicating that there were very few positive
attempts to relate improved performance to
intrinsic job satisfaction and personal contribution.

iv)　　　Mechanistically derived so that the resultant
job boundaries and areas of discretion were circum-
scribed and constrained.

In several plants there were responses which indicated that
job enrichment, job enlargement and the mutual setting of work
objectives did not represent a viable philosophy of management if
the superior was not prepared to work with a participative approach.
There was, too, some evidence to suggest that formalised target-
setting actually increased, the superior's degree of autocratic
control over his subordinates.

Obviously, target-setting per se does not result in
inappropriate managerial strategies and restricted performance.
Indeed, as the survey of appraisal forms in TI indicates, target-
setting provided much of the common ground vital for managers and
their superiors, or subordinates, to agree and establish criteria
of requisite performance and specific training/development needs.
The real value of formalised target-setting becomes apparent when
it is necessarily accompanied by explicit, formalised accountability
for -

i)   Involving subordinates in the setting of their
      own work objectives, wherever practicable.

· ii) Providing the resources, support and controls
       necessary for the subordinate to meet his targets.

iii) Monitoring and contributing, where appropriate,
      to the attainment of the subordinate's work
      objectives.

iv)   Appraising the achievement of results and taking
      the necessary action consequent upon that appraisal.

Thus, as Husband(127) suggests, the greatest virtue of
Accountability Management appears to be in the recognition that the
objectives of the company are the responsibility of all who
participate in its management. However, as the research at TI
strongly indicates, that responsibility must be made explicit and
individual accountabilities must be realistically linked to the
sanctioned exercise of authority. Moreover, managers must know
when sanction does or does not exist and in many cases this must
necessarily be written into their job descriptions, as must the
likely results of attempting to operate without sanction -
particularly in managerial jobs where there is a high level of
accountability for the achievement of end-results. On the other
hand, managers are generally paid to exercise discretion and must

be allowed a degree of discretion consistent and commensurate
with their level of accountability.

Another factor which emerged from the research - particularly
in the responses from Plant 'M' and Division 'X' where respondents
commented as appraisers as well as appraisees - was the need for
discreet differences between superior and subordinate to be
comparatively close. For example, if the time span of the discretion
for the subordinate manager was measurable in weeks while that of
his immediate superior was assessed in years, the necessary
differences in conceptual level and degree of abstraction of thinking
made it difficult, if not impossible at times, for them to
communicate effectively. Hence the basis of performance appraisal
could never realistically be the extent to which each supported or
failed to support the other. The inevitable lack of common ground
in such instances meant that appraisals were either completely
unilateral and something of a charade, or they became occasions for
mutual recrimination. In either case there was little useful
dialogue and generally no worthwhile outcome.

Finally, the research at TI confirms the obvious but
frequently ignored precondition to any scheme of appraisal - that
top management must be absolutely clear about what it wants from
performance appraisal. Furthermore, it must be fully aware of the
many difficulties involved and the extent of both the preparatory
work and follow-up controls necessary to implement, use and maintain
performance appraisal with maximum effect. Above all else, top

management must make its aims, intentions and expectations explicit and ensure that the accountability for success is recognised and accepted by individual managers throughout the organisation. As a manager from Plant 'A' put it - 'I am responsible for the effectiveness of my staff; I expect to have to discuss their performance with them and what is more, they expect it of me now. My chief wants to know the outcome of informal as well as formal appraisals in my department and wants to know why if I haven't the answers to his question.'

While periodic reviews of appraisal procedures and practices are necessarily a responsibility of both line and personnel management, the evidence from the research indicates that the philosophy of appraisal and counselling also needs to be thought through from time to time to ensure that it is still congruent with the corporate ethos. The growing tendency of TI companies to run in-plant seminars and workshops on appraisal and counselling reflects a growing dissatisfaction with what are coming to be recognised as superficial and 'mechanical' approaches to appraisal. The publication of much of the data from the research of this thesis has, itself, resulted in increased concern about the ineffectiveness of current appraisal schemes in certain divisions and companies in TI. The research has clearly indicated the areas where training in appraisal and counselling is urgently required and the evidence suggests that in-plant 'workshops' which take account of a company's particular 'culture' and managerial styles are likely to be more effective than 'blanket' residential seminars.

The obvious limitations of role-play case studies, apparent
from discussions with respondents, have led to the development and
introduction of interviewing exercises in self-appraisal and the
assessment of role behaviour (See APPENDIX V). These, used in
conjunction with a recently modified version of Bales' social
interaction analysis (See APPENDIX VI) are providing a level of
realism which some delegates felt was missing in the previous
seminars. Furthermore while these exercises provide a high level of
exposure and confrontation - and, therefore, opportunities for
learning about oneself - such exercises do not appear to give
rise to the feelings of threat often associated with completely
unstructured group dynamics events. Since they are concerned with
the evaluation of actual and perceived behaviour they provide a
realistic basis for discussion. The exercise in self appraisal
seeks to explore the trainee's perception of both his self-image
and ego-ideal. These are then related to both the trainee's
perceived performance on the course and the role requirements of
his normal job by one of the other trainees on the course. Each
delegate, in turn, discusses both his own actual behaviour, what
he assesses to be his ideal behaviour and that of another trainee
with whom he pairs off. Other delegates using the recently
introduced modified interaction analysis then comment on the social
interaction, interpersonal competence and degree of frankness
apparent in the discussion. Extensive use is made of closed
circuit T.V. so that delegates may see the pattern of social
stimuli and responses in each dialogue. Some use is still made

of role-play interviews but evidence suggests that real learning
occurs as a result of studying actual rather than contrived
behaviour - particularly when the feedback about behaviour is that
which ordinarily is not available. The secondary, but important
aim of such learning situations is to experience, at first hand,
the usefulness of a dialogue and a mutual, rather than unilateral,
appraisal.

The responses to the questionnaire on the perceived
usefulness of appraisal indicate most positively that the
experiential and largely non-directed approach to training in
appraisal and counselling is proving to be more opposite than
attempts to teach techniques. As some of the responses suggest,
however, the transfer of learning appears to be a slow or sometimes
delayed, rather than immediate process. What is emerging from the
survey is that there is little to be gained from sending isolated
individuals for training - the majority, if not the whole, of the
management structure needs to undergo common learning experiences
so that a similarly common recognition of the accountability for
effective appraisal and counselling and of the pitfalls involved,
emerges within the complete management team. Because of the now
apparent complex nature of appraisal and the difficulty of the
interpersonal issues involved, a common experience appears to be
the most effective way of securing the necessary widespread
acceptance of the need for sound appraisal and counselling as a
means of integrating individual performance with the achievement
of departmental and corporate goals within a particular organisation.

5.3. Group as opposed to Individual, Appraisal

The growing recognition of the fact that it is unrealistic
to hold people entirely responsible, as individuals, for the
achievement of results obviously leads to speculation about
the value of group appraisals. It would seem inappropriate to
consider group and individual performance assessments as an 'either,
or' choice since both have a part to play in highlighting and
developing strengths, pinpointing weaknesses and training needs
and developing effective work strategies. Though the majority
of managers operate in paired relationships with immediate superiors
and subordinates they frequently are accountable for contributing
to, and are dependent upon, the co-ordinated activities of work
groups -- particularly primary groupings. While much is under-
stood about both intra- and inter-group behaviour the theories of
role-taking, primary group structure and small group behaviour are
not used as much as they might be as an informal basis to evolving
effective approaches to the appraisal of work group performance.
As Morse and Lorsch(128) suggest, an effective work group organis-
ation must be designed to fit its task and members, not satisfy
some 'universal theory' yet some understanding of and 'feel
for' the effects of non-task behaviour upon work performance would
seem to be a necessary preliminary to developing effective groups.
Generally, the practice of group performance appraisal appears to
be rare in this country, but an experiment, carried out by the
researcher, with four comparable primary work groups using a
Lippitt(129) questionnaire provided some data about the member-
ship of those groups.

The four groups were syndicates of eight or nine members
and had been working as such for twelve days on an intensive
residential management course. On most days, the syndicates had
worked separately from each other as 'closely knit groups' from
9.00 a.m. until 9.30 p.m. so that there had been adequate
opportunity to observe and experience the effectiveness of
successive syndicate chairmen, secretaries and individual members.
The syndicates had been closely observed and informally assessed
by staff members and their respective effectiveness in dealing
with a variety of tasks and problems had been monitored and
discussed by the three staff members. Moreover, the performance
of individuals and both the informal and formal roles they had
assumed or been cast in by their colleagues were also noted.
The four groups were then asked to complete the following
questionnaire and the responses of the syndicates are shown as
'A', 'B', 'C' and 'D' -

QUESTIONNAIRE: 'ELEMENTS OF TEAMWORK' (Key: Syndicate 'A', 'B', 'C', 'D')

A. HOW CLEAR ARE THE GROUP GOALS?

1	2	3	4	5
No apparent goals	Goal confusion uncertainty or conflict	Average goal clarity	Goals mostly clear	Goals very clear
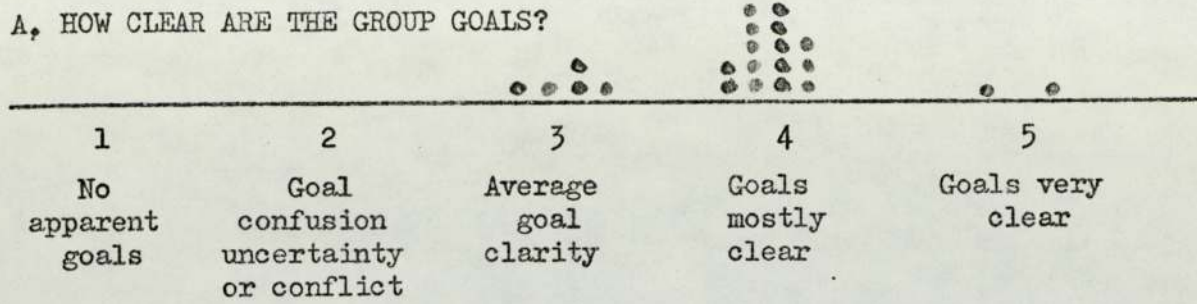
B. HOW MUCH TRUST AND OPENNESS IN THE GROUP?

1	2	3	4	5
Distrust & no openness	Little trust some openness	Average trust & openness	Considerable trust & openness	Remarkable trust & openness
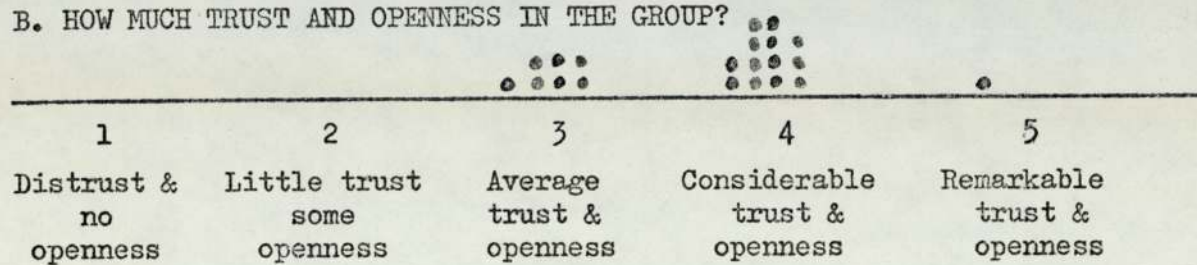
C. HOW EMPATHETIC ARE GROUP MEMBERS TO EACH OTHER?

1	2	3	4	5
No empathy	Little empathy	Average empathy	Considerable empathy	Remarkable empathy
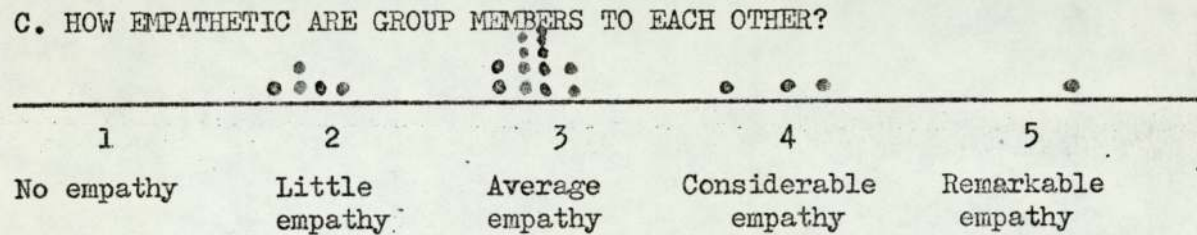
D. HOW MUCH ATTENTION IS PAID TO PROCESS AND CONTENT (THE WAY THE GROUP IS WORKING?)

1	2	3	4	5
No attention to process or content	Little attention to process and content	Some concern with group process & content	A fair balance between content & process	Very concerned with process & content
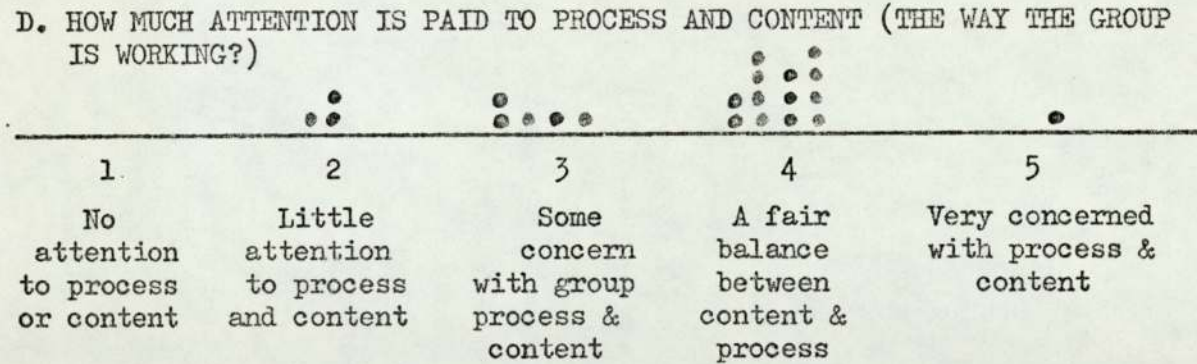
E. HOW ARE GROUP LEADERSHIP NEEDS MET?

1	2	3	4	5
Not met, drifting, random behaviour	Leadership concentrated in one person	Some leadership sharing	Leadership functions distributed	Leadership needs met creatively by participation
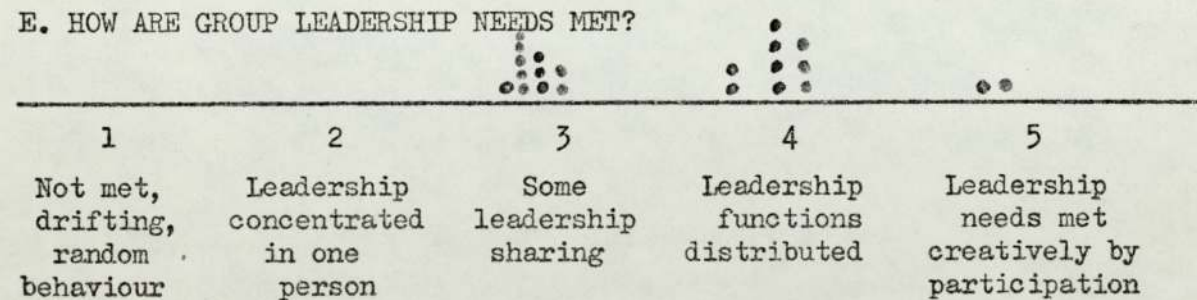
F. HOW ARE GROUP DECISIONS MADE?

1	2	3	4	5
Unable to reach decisions	Made by a few or by one person	By majority vote	Attempts at integrating minority vote	Full participation & tested consensus
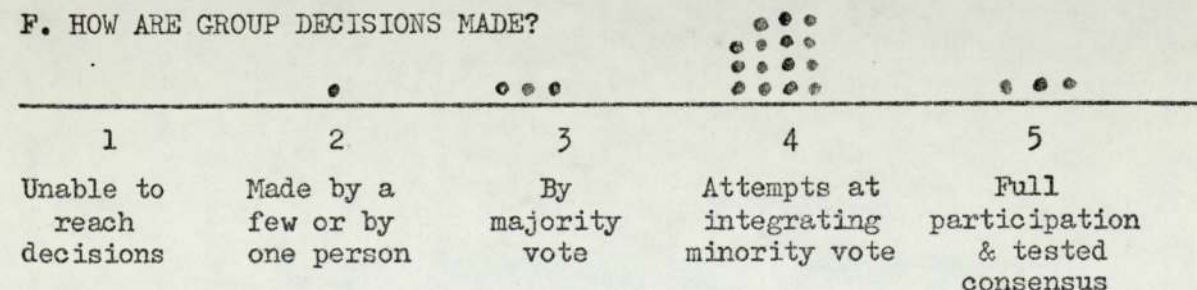
QUESTIONNAIRE: 'ELEMENTS OF TEAMWORK' continued

G. HOW WELL ARE GROUP RESOURCES UTILIZED?

1	2	3	4	5
One or two contributed	Several tried to contribute but were discouraged	Average use of group resources	Group resources well used & encouraged	Group resources fully & effectively used

H. HOW MUCH DO MEMBERS FEEL THEY BELONG TO THE GROUP?
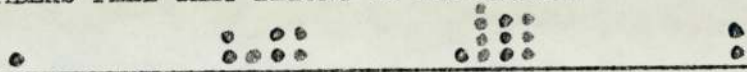
1	2	3	4	5
Members have no sense of belonging	Members not close but some friendly relations	About average sense of belonging	Warm sense of belonging	Strong sense of belonging among members

For the purpose of this research the actual results are not particularly significant. What is important is that such data is possible to obtain and that it provides both the group itself and anyone else who is accountable for the task effectiveness of that group with an insight into the roles, relationships and behaviour patterns of the group. Equally significant is that while the data tended to confirm the staff's impressions about the chracteristics and competence of the four syndicates the information which emerged helps to explain some features of the groups' activities. Moreover, the intra-group behavioural patterns provided a necessary context within which to evaluate the contributions of the individual syndicate members.

Lippitt's parameters represent one useful approach to identifying the task and non-task behaviour patterns in groups. Other useful approaches which provide data about intra and inter-group characteristics and, therefore, an indication of the role-taking activities and inter-personal effectiveness of individuals is Paterson's 'Methectic' Theory of organisation(130). Based upon the concept of 'methektikos' (participation), Paterson's theory identifies the roles which are necessary for primary groups to operate and inter-relate effectively, i.e. -

i)   'Indominus' role - concerned with the well-
        being, structure relationships and internal
        working of the group.

ii)   'Exdominus' role - concerned principally with
        'outward' relationships and the way the group
        inter-relates with others and with the organis-
        ation as a whole.

iii)   'Exemplar' role which must exist in order for
        the group to consider its primary task in terms
        of principles, philosophy, criteria of excellence,
        etc.

iv)   'Eccentric' role, necessary to stimulate the
        group's thinking in unusual, unorthodox and
        creature directions, or to raise the level of
        abstraction of thinking.

v)   'Mimetic' or 'follower' roles which are
        necessary to give both tacit and vocal approval
        and support to the other, more innovative roles,
        whenever appropriate.

As Paterson suggests these roles are not occupied
exclusively by different individuals. One member of the group
may fulfil two or even more of the five role functions successively.
What is important is that the role functions are performed.
Observation of primary groups carried out by the researcher
suggest that if any one of these roles is more or less permanently
absent then the group is likely to be less effective in the attain-
ment of its work goals.

Adair's concept of the triple 'functions of leadership'
(131) - viz, task performance, concern for the individual and the
maintenance of the work group as a team - also provides a useful set
of parameters with which to assess a group's effectiveness. The
researcher has used Lippitt's elements of teamwork when evaluating
the task performance role behaviour and work relationships of task
groups undertaking management games, which involve the exercise of
inter-personal and leadership skills, such as -

    i)   Ergom exercise 'Fishbowl'

            Ergom exercise 'Objectives'

            Ergom exercise 'Organisation'

    ii)   Exercise 'Suburbia'

            Exercise 'Problem Solving in a Hierarchy'

    iii)   Coverdale 'Card Sorting' exercise

    iv)   Own management exercise 'Production Control'

and, in addition -

    v)   Syndicate study groups and work teams on various
           management courses run at Woodbourne Grange
           residential training centre.

While a synthesis of these concepts has yet to be validated and formalised, the data obtained from their use to date is encouraging. Considerable refinement of the basic parameters, behavioural criteria, data collection and methods of analysis is necessary, but the feedback obtained so far has the necessary attribute of being felt to be relevant to the study of group behaviour and group effectiveness by the members of the groups which participated in the experiments. The analyses have been used to explore group behaviour, relationships and task performance both retrospectively and in the 'here and now'. Much of the feedback available to members is thus in the form of 'felt' experience and there is evidence that some internalisation has taken place. For example, though obviously an uncomfortable experience for them, several delegates admitted that the analyses of group behaviour had crystallised the frustrations, sense of impotence and sense of threat they had felt when operating in the groups. The principal insight gained appeared to be that of recognising the constraints of group behaviour for what they really were and appreciating the negative impact that the satisfaction of social and emotional needs within groups can exert upon individual effectiveness and task performance.

On the evidence from the analyses of both intra- and inter-group behaviour, it seems that an effective, realistic assessment of an individual's task performance and personal effectiveness must take account of the roles that individual occupies consciously

and voluntarily, or otherwise, within a network of formal and
informal relationships. The evidence from the research suggests,
however, that very little attention was paid to the work and non-
work pressures that groups may exert upon their members. The
responses from Plant 'M' and Division 'X' particularly, together
with the data obtained from the survey of appraisal forms suggest
that many managers are both over-confident about their ability to
define the causes of ineffective performance and are dangerously
complacent about their counselling skills. The research as a whole
indicates that far too many managers in the company hold over-
simplified and deceptively precise views about the importance of
appraisal and counselling. Their criteria of success, as appraisers
and counsellors appear to be rooted in the area of social
acceptance by their subordinates, rather than in actual improve-
ments in results. Admittedly, as the survey indicates, the
practice of target setting has tended to make appraisal dialogues
more oriented to causal analyses and has helped to increase the
extent to which attention is focussed on specific achievements
and the constraints which limit task effectiveness. However, the
besetting problem in appraisal and counselling which has emerged
from the research is that of feedback -

> Knowing precisely what information is needed
>
> Understanding why it is required
>
> Recognising how it should best be presented

and, above all -

> Knowing when it is not forthcoming and providing the
> answers to questions that have not been asked.

Any approach to appraisal, either conventional or M.B.O., which concentrates almost entirely upon individual effectiveness is ignoring the basis of managerial task performance - that the achievement of objectives is a function of effort within networks of interdependent, not mutually exclusive roles. The evidence from the research at TI is that individual appraisals are a vital and necessary function of management. Responses suggest that, where appraisal and counselling are done effectively and where appraisals are mutual, rather than unilateral, probably the greatest benefit is the re-affirmation and reinforcement of the paired relationships between superiors and subordinates. However, the evidence also indicates that individual appraisal and counselling which, necessarily, reflect the health of paired relationships must also be undertaken in conjunction with, and in the context of, appraisals of the work effectiveness and inter/intra group relation- ships of the group in which the individual is a member. Moreover, each member should have frequent opportunities to discuss, in conjunction with other group members, how he believes the group is operating both in terms of task performance and social process. Before any individual is likely to modify his existing assumptions about either his own behaviour or that of others he needs to develop appropriate concepts and attitudes. Before he is likely to arrive at these, he needs realistic feedback from those whom he perceives to have the greatest influence upon his personal contribution in his role as a manager.

RESEARCH INTO APPRAISAL (1)

THE G.E. STUDIES (1965)* - UNINTENDED CONSEQUENCES.

1.   Criticism had a negative effect upon performance.

2.   Praise had little effect, one way or the other.

3.   Most subordinates reacted defensively to criticism
      during the interview.

4.   The disruptive effect of repeated criticism on
      subsequent performance was greater among those
      individuals already low in self-esteem.

5.   Only 2 out of 92 appraisees thought their performance
      was below average.

* Kay, Meyer and France.

* Confirmed by Haeri - BIM, 1969.
Managers generally were more convinced
of the value of appraisal when appraising,
than when being appraised themselves.

APPENDIX II

RESEARCH INTO APPRAISAL (II)

1.   Rowe, 1964 (summarised) -

    i.   'Managers are reluctant to appraise'.

    ii.   'Managers are even more reluctant to discuss
the appraisal with their subordinates'.

Percentage of appraisal forms without interview reports -

Company 'A'   -   40%

Company 'B'   -   78%

Company 'C'   -   52%

Company 'D'   -   14%

2.   Stewart, 1964 (summarised) -

    i.   'Considerably more superiors than subordinates
felt the interview as useful'.*

    ii.   'Subordinates' greatest anxiety was over the
purpose of the interview'.

3.   Merrill and Martin -

QUESTION   RESPONSE

	Men with 'Formal' Managers	Men with 'Informal' Managers
1. Do you have a very good idea, or know exactly what is expected of you?	85	59
2. Do you have a good idea of what your superior thinks of your performance?	60	24
3. Is the way you are supervised about right - neither too loosely, not too closely?	78	46
4. Is your superior sufficiently frank with you?	59	34
5. Does your superior draw your attention to areas where you need to improve?	64	34

Position: Sales Manager (ABC Division)

Reports to, and description
agreed by: Divisional Director

PURPOSE

Achieve or exceed planned sales volume and assist in the
development of diversified applications for ABC technology.

DIMENSIONS

    1968 Budgeted sales:

    Sales expense and promotor budget:

    Number of people:

NATURE AND SCOPE OF POSITION

This is one of the two senior positions in the ABC Division
reporting to the Divisional Director and as such is charged
with marketing its products throughout the country.   The
company is the leader in the manufacture of reinforced
plastic piping and fittings, which find application where
corrosion, heat and pressure resistence are important factors.
It thus competes with long-established materials such as steel
and aluminium which are often specially treated for protection
against corrosion.

The ABC Division's sales have been increasing at the rate of
15% to 30% per year, and are budgeted at over £1m. for 1968.
Customers represent a wide cross-section of chemical, paper
and food industries.   Approximately 60% of orders are for the
maintenance and upgrading of existing plants, requiring a
heavy emphasis on selling works management.   The balance of
orders are for new plants, are individually considerably larger
and require selling not only to the customer, but also to his
design engineers and construction contractors.   While customers
have in common a chemical process with corrosion problems, each
new application in each new section of an industry has to be
proven, and the customer has to be taught fabrication and
assembly techniques which are different from those to which
he is accustomed.   Trial installations are therefore numerous.

The incumbent has divided the country into seven sales
districts in six of which he has a Sales Manager and in the
seventh a Distributor.   Sales Managers have in turn a
combination of one or more Sales Representatives, Distributors
and Selling Agents.   The oil industry market is reached
through the parent company distribution organisation.

In support of direct selling activities, the incumbent
directs the company's promotion efforts which are largely
concentrated on advertising in trade journals, trade shows
and technical literature. In addition to the sales personnel
(12 people), he has a staff of five people in the order entry
editing, traffic function and a Special Projects Engineer.
The latter concentrates on special quotations such as those
requiring engineering time or for military contracts and on
the preliminary study of opportunities for diversification.

The incumbent visits the field regularly, making important
calls with his sales people and calling on Distributors
to encourage them to maintain adequate levels of stock.
Beyond this, he is chiefly concerned with planning the
company's overall marketing efforts, with assessing market
requirements and with effectively co-ordinating them with
the company's technological and manufacturing resources.
While prices are normally determined with in mark-up parameters
which will give the desired return on investment, on large or
special quotations, he works closely with the Works Manager
on pricing as he does on all technical matters such as new
applications and on sizes and types of piping and fittings
to be added to the manufacturing range.

He also deals with parent company functions such as Personnel
and Training, particularly on training programmes for his
sales personnel and the Secretary on sales budgeting and
control.

This job works within approved budgets and policies but with
minimum direction from the Divisional Director on how to
achieve the planned volume of sales. Its main challenge is
to develop an organisation which will double sales within
the next four years.

PRINCIPAL ACCOUNTABILITIES

1. Develop and maintain an organisation structure which
    achieves an optimum combination of maximum market
    coverage and minimum operational expense. Assure that
    the accountabilities of key members are clearly defined.

2. See to the systematic development and training of
    subordinates and distributors and Agents. With the
    assistance of Personnel and Training, establish
    training programmes to bring these groups up to the
    desired level of competence.

3. Establish sales and profit goals which are in keeping
    with ABC objectives and which help achieve as a
    minimum the expected profit margins and return on
    investment.

4. Develop and submit annually a sales forecast and
    operating budget covering all major undertakings
    including new markets and applications and which
    indicate clearly the business course to be followed
    by Sales.

5. Lead in the development of new or expanded applications
    for ABC products, obtaining the assistance of plant
    management on technical problems.

6. Maintain continuous awareness of changing market
    requirements and competitive products and action so
    as to maintain for ABC its present market leadership.
    Establish and maintain a broad level of contacts in
    industries important to the company.

7. Investigate claims and settle them in a manner that
    is fair both to customer and ABC.

8. Monitor and assure operating results which are a
    least as good as forecast and maintain ABC in its
    present leading position. Take or recommend action
    to ensure the proper shifts in approach and emphasis
    are made when needed.

9. Participate with the Plant Manager in establishing
    prices and in determining the product lines to be
    offered.

NWH/GM

<u>CONFIDENTIAL QUESTIONNAIRE</u>

<u>MANAGEMENT DEVELOPMENT AND MANAGEMENT PRACTICE COURSES</u>

Please answer all questions and where alternatives are provided, mark the appropriate box.

<u>SECTION A</u>

1. <u>Type of course attended</u>

    (a)   Management Development

    (b)   Management Practice

2. <u>Year of course attended</u>

    (a)   1966

    (b)   1967

    (c)   1968

    (d)   1969

<u>SECTION B</u>

<u>This section refers to impressions gained at the time of the course.</u>

3. Could you describe your initial reactions to this exercise? e.g. did you, for instance, find this experience stimulating, embarrassing, worrying, aggressive?

4. (i)   Did your reactions alter throughout the duration of this exercise?

        (a)   Yes

        (b)   No

    (ii) If they did, how did they change and what caused this to occur?

5.   (a) During the group dynamics/communications exercise, did you see its relevance to your normal job as a manager?

          1. Yes

          2. No

      (b) If you did, how was this relevant and in what particular aspect of your job?

6.   What was your opinion of the course tutors regarding their ability to direct and control the situation?

SECTION C

This section is concerned with your views of the impact of the exercise on your subsequent performance as a manager.

7.   Can you analyse in what ways, if any, your management expertise and sensitivity have changed as a result of the group dynamics training? (It would be helpful here if you could quote particular situations to illustrate this.)

8.   (a) Has this experience affected your ability to identify and improve the handling of human problems amongst your own staff?

          1. Yes

          2. No

(b) If yes, how has this been developed?

(a) Following the course have you read anything on group
    dynamics training, or similar methods. e.g. T-Group
    and sensitivity training?

      1.   Yes

      2.   No

(b) If yes, what material have you read?

(a) Do you still feel that a training device of this
    nature is of value to managers?

      1.   Yes

      2.   No

(b) What are your reasons for the answers to the above?

(a) Given the choice, would you recommend that Woodbourne
    Grange should continue to use this technique as part
    of the TI courses?

      1.   Yes

      2.   No

(b) What are your reasons for your answer to the above?

THANK YOU VERY MUCH FOR YOUR CO-OPERATION

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ASPECT OF PERFORMANCE/BEHAVIOUR	APPRAISAL OF YOU			YOUR APPRAISAL OF YOUR COLLEAGUE
	Actual	Preferred	Other's Appraisal of You	
1. TASK VS. HUMAN RELATIONS CONCERNS Primarily concerned with getting job done 1:2:3:4:5:6:7:8:9:10 Primarily concerned with maintaining good relations.				
2. PARTICIPATION/DELEGATION Prefer to solve problems myself 1:2:3:4:5:6:7:8:9:10 Prefer to let others solve problems.				
3. INDIVIDUAL VS. GROUP DECISIONS Prefer group decisions 1:2:3:4:5:6:7:8:9:10 Prefer individual decisions.				
4. USE OF AUTHORITY IN GETTING WORK DONE Rely on persuasion and/or personal skill and knowledge 1:2:3:4:5:6:7:8:9:10 Rely on my position and power.				
5. CAUSAL ANALYSIS OF PROBLEMS Never see myself as part of the problem 1:2:3:4:5:6:7:8:9:10 Always see myself as part of the problem.				
6. INTERNAL-EXTERNAL FOCUS Completely controlled by my environment 1:2:3:4:5:6:7:8:9:10 Completely controlled by my own values and beliefs.				

ASPECT OF PERFORMANCE/BEHAVIOUR	Actual	APPRAISAL OF YOU Preferred	Other's Appraisal of You	YOUR APPRAISAL OF YOUR COLLEAGUE
7. SUBJECTIVE VS. OBJECTIVE Rely exclusively on feelings 1:2:3:4:5:6:7:8:9:10 Rely exclusively on facts				
8. BREADTH OF FOCUS ON PROBLEMS Intensive narrow focus in depth 1:2:3:4:5:6:7:8;9:10 Extensive search for solutions.				
9. SPEED OF DECISION Defer judgment as long as possible 1:2:3:4:5:6:7:8:9:10 Decide as quickly as possible.				
10. IMPULSIVITY Think before I speak 1:2:3:4:5:6:7:8:9:10 Speak before I think.				
11. PERSISTENCE Give up too quickly on tough problems 1:2:3:4:5:6:7:8:9:10 Never give up.				
12. TENDENCY TO SEEK OUT OPPORTUNITIES Content to wait 1:2:3:4:5:6:7:8:9:10 Always searching.				

| ASPECT OF PERFORMANCE/BEHAVIOUR | Actual | APPRAISAL OF YOU | | YOUR APPRAISAL OF YOUR COLLEAGUE |
		Preferred	Other's Appraisal of You	
13. ABILITY TO LISTEN TO OTHERS WITH UNDERSTANDING Not at all able 1:2:3:4:5:6:7:8:9:10 Completely able.				
14. WILLINGNESS TO DISCUSS FEELINGS WITH OTHERS Completely unwilling 1:2:3:4:5:6:7:8:9:10 Completely willing.				
15. AWARENESS OF THE FEELINGS OF OTHERS Completely unaware 1:2:3:4:5:6:7:8:9:10 Completely aware.				
16. UNDERSTANDING WHY I DO WHAT I DO No understanding 1:2:3:4:5:6:7:8:9:10 Complete under- standing.				
17. TOLERANCE OF CONFLICT AND ANTAGONISM Not tolerant 1:2:3:4:5:6:7:8:9:10 Tolerant.				
18. ACCEPTANCE OF AFFECTION AND WARMTH FROM OTHERS Uncomfortable 1:2:3:4:5:6:7:8:9:10 Comfortable.				
19. ACCEPTANCE OF COMMENTS ABOUT MY BEHAVIOUR FROM OTHERS Complete Rejection 1:2:3:4:5:6:7:8:9:10 Complete Acceptance.				
20. WILLINGNESS TO TRUST OTHERS Completely suspicious1:2:3:4:5:6:7:8:9:10 Completely trusting.				

ASPECT OF PERFORMANCE/BEHAVIOUR	APPRAISAL OF YOU			YOUR APPRAISAL OF YOUR COLLEAGUE
	Actual	Preferred	Other's Appraisal of You	
21. ABILITY TO INFLUENCE OTHERS Completely unable 1:2:3:4:5:6:7:8:9:10 Completely able.				
22. RELATIONS WITH PEERS Wholly competitive 1:2:3:4:5:6:7:8:9:10 Wholly cooperative.				
23. REACTION TO SUCCESS-FAILURE Stimulated most by reproof, failure, negative feedback 1:2:3:4:5:6:7:8:9:10 Stimulated most by praise, success, positive feedback.				
24. SELF CONFIDENCE Completely lacking in self confidence 1:2:3:4:5:6:7:8:9:10 Completely self confident.				

APPRAISAL AND COUNSELLING INTERVIEWS: INTERACTION

HOW EFFECTIVE A LISTENER IS THE INTERVIEWER?

oes not listen,
ut continually
nterrupts and
alks at the
nterviewee,
gnoring or
ejecting his
oint of view.　　　1:2:3:4:5:6:7:8:9:10

Gives the interviewee
complete attention.
Listens carefully and
develops an effective
dialogue by encouraging
or picking up leads from
the interviewee.

HOW MUCH TRUST AND FRANKNESS IS APPARENT?

xtremely
istrustful and
uspicious. Very
uarded comments
nd reluctance to
dmit or concede.
vidence of
ishonesty.　　　1:2:3:4:5:6:7:8:9:10

Completely open and
frank exchanges. Very
obvious mutual trust
and honesty. Readiness
to admit and concede.

HOW EFFECTIVE IS CONFRONTATION ON 'DIFFICULT' AREAS?

xtremely
eluctant to
onfront. Avoids
aising, or 'ducks',
hat appear to be
ecessary issues.　　　1:2:3:4:5:6:7:8:9:10

Completely able to talk
about realities in the
difficult areas, e.g.
roles, relationships,
behaviour, personal
effectiveness, etc.

HOW WELL DOES THE INTERVIEWER HANDLE CONFLICT?

o aggressive
d domineering
r anxious to
oid all conflict).
ds to the tension
'pulling rank'.
flates interviewee
is too defensive.　　　1:2:3:4:5:6:7:8:9:10

Handles tension
effectively and takes
'heat' out of the situation
by allowing others to
give full expression
to their anxiety, anger
and frustration. Raises
others' status.

HOW EFFECTIVELY ARE WORK/PROBLEMS DISCUSSED?

ilure to differentiate
tween cause and
fects of problems.
gue, negative and/or
realistic. No clear,
reed objectives and
rategies and no
arification of
rsonal accounta-
ities.　　　1:2:3:4:5:6:7:8:9:10

Positive and constructive
with specific objectives
and/or decisions agreed
jointly. Personal
commitments clearly
defined and accepted.

TRUBOR STEEL TUBE COMPANY LIMITED

FOUR-MONTHLY PERFORMANCE REVIEW

<u>Job Holder</u>   <u>Reviewer</u>

Name .... Job Title .... Name .... Job Title ....

Section/Dept .... Section/Dept ....

DATE ....

PART 1 ACTION PLAN REVIEW Relating to .... months ending ....
(To be read in conjunction with last Action Plan)   Priority Task Number

	1	2	3	4	5	6
Tasks completed satisfactorily (tick appropriate box)						

Reasons for non-completion   Place tick (✓) in appropriate box

	1	2	3	4	5	6
(a) Results required not clearly stated						
(b) Did not fully understand what he had to do						
(c) Had insufficient technical knowledge						
(d) Had insufficient administrative skill						
(e) Did not know how he was getting on						

Reasons for non-completion   continued

(f)   Supporting action was not given
....

(g)   Any other reason (state fully below)
....

....

....

PART 2   OVERALL PERFORMANCE REVIEW.   Read through the Job Description with the Job Holder, list his main accountabilities below and tick (✔) the appropriate rating column.

Ref. No.	Main Accountabilities	Needs Major Improvement	Needs More Attention	Keep up Present Performance	Comments
....	....	....	....	....	....
....	....	....	....	....	....
....	....	....	....	....	....
....	....	....	....	....	....
....	....	....	....	....	....
....	....	....	....	....	....

Parts 1, 2 and 3 are to be completed by Reviewer together with the Job Holder

Priority	Target	Supporting Action
....	....	....
....	....	....
....	....	....
....	....	....
....	....	....
....	....	....
....	....	....
....	....	....
....	....	....
....	....	....

THIS CONCLUDES THE APPRAISAL INTERVIEW.   THE REVIEWER SHOULD NOW PASS THIS SHEET TO HIS SUPERIOR.

the job holder during the next performance period?

....

....

....

....

....

....

What items arising from this Appraisal should be given YOUR attention or that of some other senior manager?

....

....

....

....

....

....

....

PLEASE RETURN THIS SHEET TO
THE REVIEWER AFTER YOU HAVE
DISCUSSED IT WITH HIM.

Signed by
Reviewer's Superior _____

Date _____

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