A MODEL FOR EVALUATING TRAINING AND DEVELOPMENT INITIATIVES IN THE BOTSWANA PUBLIC SERVICE

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Thesis submitted in fulfilment of the requirements for the degree: **DOCTOR TECHNOLOGIAE: HUMAN RESOURCES MANAGEMENT** in the Faculty of Business and Economic Sciences at the Nelson Mandela Metropolitan University.

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February 2009

PORT ELIZABETH

DECLARATION

"I, Theophilus Tebetso Tshukudu, hereby declare that:

The work in this thesis is my own original work;

All sources used or referred to have been documented and recognised; and

This thesis has not been previously submitted in full or partial fulfillment of the requirements for an equivalent or higher qualification at any recognised education institution."

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THEOPHILUS T. TSHUKUDU DATE

ACKNOWLEDGEMENTS

Professor D.M. Berry, my research supervisor, for his encouragement and professional guidance during the study

Doctor Amanda Werner, for her encouragement and advice

Doctor Jacques Petersen, for assisting with the statistical analysis

The Department of Public Service Management for their support and encouragement

My brothers Joseph, Orekilwe and the rest of my family for their support during my study

The respondents of the study who supplied the empirical data

Doctor Brian Norris for his professional assistance with editing and layout of the thesis

ABSTRACT

The purpose of this study was to develop an integrated model for evaluating training and development initiatives used by the Botswana public service. To achieve this goal, the following actions were taken:

- A literature study was conducted to identify the scope and impact of an effective training and development initiative and its evaluation;

- A literature study was conducted to identify strategies for evaluating training and development initiatives. The theoretical study focused on effective training and development strategies and their evaluation and critical organisational factors that contribute to successful training evaluation;

- The findings from the literature study were integrated into a model for evaluating training and development initiatives to be used by the Botswana public service; and

- This model was used as the basis for the development of a survey questionnaire to determine whether trainers, training managers and supervisors who were responsible for training and development in the public service agreed with the effective strategies for evaluating training and development developed in the study. The survey was conducted in ministries and departments in the south east district of Botswana, mainly in Gaborone, where ministries and government departments are located.

The empirical results from the study showed that the majority of respondents' training and development activities were not evaluated and that there is no link between training and development and performance management. In

particular, disagreements were shown with regard to ten strategies and critical organisational factors.

Evaluation of training and development in general, is an issue that organisations are challenged with on a daily basis. Lack of skills by trainers on how to evaluate training and development is one major contributing factor to this problem. An integrated and strategic approach towards the evaluation of training and development is required to effectively and constructively train and development employees according to strategic organisational goals, rather than according to individual trainee's goals.

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CHAPTER 1

INTRODUCTION, PROBLEM STATEMENT AND OUTLINE OF THE RESEARCH PROJECT

1.1 INTRODUCTION

The background of the problem of the study relates to the work performance of the Botswana public service employees which can be traced to the time of Botswana's independence in 1966. The Botswana public service periodically undergoes reforms aimed at transforming its structures, systems, and operations. One of the reforms was localisation of management positions from the days of colonial administration. These reforms resulted in the rapid expansion of the Botswana public service. The Botswana public service's share of the formal employment sector was about 36 per cent in 1999, employing about 105 200 out of 255 600 employees. As of March 2001, the formal employment sector was estimated at 270 331 people (World Bank Fiscal Report of 1999). The expansion of the Botswana public service created the following problems: high wage bills, creation of unwarranted posts, lack of manpower planning, ad hoc recruitment and selection and unco-ordinated human resources development.

Over the years the government has been concerned with poor service delivery in the Botswana public service. In his address of the 107th parliament session, the President of Botswana, Mr Festus Mogae, lamented the continuing decline in productivity levels. He pointed out that billions of pula are spent on the development of senior government officials with little or no improvement in the productivity levels of service delivery. The President described the government‘s budget on training and development initiatives as non-profitable, given the current

productivity levels in the Botswana public service. He urged legislators to use their political influence to change public service employees' attitudes towards productivity (Daily News, 2007).

Stake (2003, p.19) points out that in order to deal with this problem of low productivity in the Botswana public service, the government has in the past introduced reform programmes aimed at improving productivity in the service. These reforms include amongst others the following:

- Manpower training and development;
- Work improvement teams;
- Salary reviews;
- Decentralisation of human resources functions;
- A performance management system; and
- A performance -based reward system.

The reforms occurring in the public service placed obligations on ministries and departments to embark on vigorous training and development initiatives aimed at improving service delivery. However, training and development in the Botswana public service were not without problems. Poor service delivery and the lack of accountability in the public service continued regardless of efforts to curb this problem (Somolekae 2001, p.45).

According to a report in the Mmegi (2005, p.7), the government is yet to embark on another phase of the public service reform where thousands of public service employees would be retrenched. Nkala (2006, p.2) shares these sentiments that the Botswana public service is hierarchical and that drastic measures should be taken to keep it lean and efficient. The Business Economic Advisory Council Report (2003, p.97) indicates that the Botswana public service sector is large and not efficiency oriented.

The Business and Economic Advisry Council Report (2003) proposes that drastic measures be taken to improve service delivery in the public service. The report further states that, past reform programmes have not yielded much with a continuous decline in performance standards across the public service sector, hence the need for public service transformation. Nkala (2006, p.6) advocates for the management of training and development and their evaluation to improve service delivery in the Botswana public service.

In 1996 the government embarked on restructuring senior management positions with a view to enhancing service delivery. Nkala (2006, p.3) points out that amongst other changes was the introduction of contract agreements with all permanent secretaries. This move was generally criticised by some. However, the exercise was in line with the founding pillars of Vision 2016. This vision recognises the importance of improving public service delivery by the year 2016 (National Development Plan 9 of 2004, p.79).

Nkala's (2006, p.6) proposition is based on the fact that measures should be put in place for training managers in different levels in the public service structure and that they must be held accountable for their subordinates' performance. He further argues that the training manager's input is critical when diagnosing individual, team and organisational performance. Training managers should answer to all the stakeholders on matters of formulation, implementation and the evaluation of performance-improvement strategies.

1.2 STATEMENT OF THE MAIN PROBLEM

The work performance of the Botswana public service has been a major concern to the government, civil society, development partners and the nation at large. The prevailing situation in the work-place has been that of low work performance, poor service delivery and high labour turnover. The poor work performance has led to a decline in the economic growth from an average GDP of 8 per cent to 7.1 per cent between 1990 and 2003 (World Bank Report 2003, p.40). Mpabanga (2003, p.51) emphasises the importance of an effective public service which provides an atmosphere in which all stakeholders in the economy are able to operate efficiently and effectively.

One major problem in the Botswana public service has been the inability for permanent secretaries and training managers to evaluate first-line managers' training and development against the backdrop of a continued decline in service delivery (DPSM report 2003, p.44). In the State of The Nation Address, President Festus Mogae, lamented that Botswana is ranked amongst countries whose labour force has a very poor work ethic. He pointed out that amongst the 14 factors identified as the most problematic for doing business in Botswana, the poor work ethic has been emphasised. The president assured the nation that his government will continue to come up with strategies to address the issue of poor service delivery.

According to the Department of Public Service Management (Report 2003, p.44), the Botswana public service is experiencing the following problems:

- Unclear lines of accountability between ministries and departments;
- Communication breakdown between the Department of Public Service Management and ministries due to bureaucratic practices;

- Lack of managers' commitment to training and development in their ministries and departments; and
- Lack of training and development evaluation strategies for ministries and departments.

This study aims to focus on the last-mentioned problem, namely the lack of training and development evaluation strategies in the Botswana public service.

After independence Botswana inherited administrative systems and practices from the colonial administration, hence the existence of bureaucracy and a hierarchy in the Botswana public service. In the Botswana public service, bureaucracy and hierarchy thus represent the best model of administration to date. The public sector bureaucracy conforms to Werber's legal and rational type of authority, which is characterised by job specialisation, authority hierarchy, impersonality, rules, procedures and records (Mpabanga 2003, p.24). After independence, training and development became the government's priority with a view to localising decision-making posts occupied by expatriates.

The government has played a significant role in human resources' development in the past 40 years and continues to do so even today. Despite some achievements in training and development, Botswana continues to be faced with the problem of poor performance which directly hampers the country's competitiveness in the world economy (DPSM, 2001, p.17). This problem persisted even when vigorous training and development initiatives were undertaken by ministries and departments to improve service delivery. Mpabanga (2003, p.26) reiterates that in the absence of evaluation training and development initiatives, training is irrelevant and has less or no impact on improvement in service delivery.

Training and development in the public service have been aimed at satisfying a few individual's needs rather than those of the department or ministry. Issues of corruption and nepotism are prevalent in training and development in the pubic service. The following compounded the problem of poor service delivery in the public service: lack of training and development policies and procedures, training initiatives not aligned with the strategic objectives of the department or ministry and lack of training evaluation strategies to determine efficiency (DPSM 2001, p.34).

Somolekae (2001, p.41) concurs that poor service delivery can be attributed to a lack of or non-evaluation of training and development in the Botswana public service. She explains that a good share of the budget goes towards funding training and development without monitoring and accounting of the same.

Somolekae (2001, p.42) reiterates the following reasons that may affect the evaluation of training: insufficient budget allocated, insufficient time allocated, lack of expertise, and blind trust in training solutions. Part of the explanation may be that the task of evaluating training and development interventions is complex in itself. Evaluating training interventions with regard to learning, transfer, and organisational impact involves a number of complex factors. These factors are associated with dynamic and ongoing interactions of various dimensions such as organisational culture, training goals, trainees, training situations, and instructional technologies.

The performance of the Botswana public service has been a major concern to the Botswana authorities. It has been characterised by low work performance and poor service delivery. The problems that exist include: absenteeism, lateness, a high degree of complaints, low quality work and high staff turnover (Department of Public Sservice Management 2001, p.56).

Somolekae (2001, p.42) notes that one of the reasons for poor service delivery includes the decentralisation of human resources' functions to ministries without proper training of officers responsible for the implementation of the process. She indicates that during the decentralisation process, senior officers were attached to the Department of public service management for a crash course on human resources. The majority of these officials did not have any background knowledge of human resources functions.

On completion of a crash course these officers were sent back to their respective ministries and departments to implement a decentralisation process. This process resulted in a lack of planning and co-ordination of training, and inadequate development initiatives by implementers (DPSM Review 2003, p.62). The hasty implementation of the decentralisation process resulted in poor planning and co-ordination of training and development in the public service.

Eseryl (2005, p.55) notes that evaluation is an integral part of training and development interventions that help determine the effectiveness of instructional interventions, which in return increase organisational performance. She further observes that despite its importance, there is evidence that evaluation of training is either inconsistent or missing.

Chepkilot (2005, p.85) indicates that the emphasis on training in recent years has led to many organisations investing substantially in employee training and development. He notes that the need for training has been necessitated by technological advancement and organisational change and the realisation that organisational success is dependent on the skills, competencies, and abilities of employees. This has been underscored by the rise in human resources management with its emphasis on the

importance of people and the skills they possess in enhancing organisational performance.

Goldstein and Ford (2001, p.2) note that training and development programmes are enormous business in terms of both effort and money spent. For example, the following are illustrations on how much training and development costs. The American Society of Training and Development in its report estimated that $55 billion was spent on formal training by employers. The survey, known as the Human Performance Practices Survey (HPPS), was based on a random sample of 540 organisations with more than 50 or more employees. In another survey conducted by the same company involving 500 firms, it was found that 91% of the firms provided training for middle management, 75% for sales training, 56% for secretarial training, 51% for executive development, and 44% for technical training.

Foxon and Lybrand (2005) state that there is ample evidence that evaluation continues to be one of the vexing problems facing the training fraternity. Marsden (2005, p.43) observes that training managers have given evaluation a low priority in the instructional process. However, in the current economic environment and in the light of a training guarantee, training managers are faced with a hard economic decision about the viability and value of the training programmes they offer. In the minds of many practitioners, evaluation is viewed as a problem rather than a solution, and an end rather than a means.

Marsden (2005, p.44) reiterates that when training evaluation is undertaken, it is often rushed through and limited in scope. It can be overawed by quantitative measurement techniques, and can lack both in budget and the time required for the evaluation process.

The researcher will endeavour to develop a model for evaluating training and development in the Botswana public service. The above discussion offers the basis for exploration of the main problem and sub-problems of this study and will be represented by the following questions.

What strategies can be used by the Botswana public service to evaluate the effectiveness of training and development initiatives?

1.3 SUB-PROBLEMS

An analysis of the main problem allows identification of the following sub-problems:

Sub-problem One
What outcomes are expected from training and development initiatives?

Sub-problem Two
What evaluation strategies can be used to determine whether training and development initiatives are effective?

Sub-problem Three
What strategies, as in sub-problem two, are used by the Botswana public service to evaluate training and development initiatives?

Sub-problem Four
What strategies can be utilised by the Botswana public service to evaluate training and development initiatives?

1.4 REASONS FOR AND SIGNIFICANCE OF THE STUDY

The problem statement highlights major problems in the poor service delivery of the public service such as bureaucracy, which is characterised by job specialisation, the authority hierarchy, impersonality, rules, procedures and records (Mpabanga 2003, p.27).

As discussed in the problem statement (refer to section 1.2), despite some achievements in training and development, Botswana continues to be faced with the problem of poor performance which directly hampers competitiveness in the world economy.

Bakwena (2001, p.15) supports the notion that poor service delivery is a bone of contention and she adds that performance in the Botswana public service underlies the notion that the government is not able to improve the country's competitiveness. Bakwena further states that globalisation of world economies is placing sustained pressure on governments to improve competitiveness across the board.

It was also indicated that training and development in the public service have been characterised by corruption and nepotism, a lack of training and development policies and procedures, and training initiatives not aligned with the strategic objectives of the department or ministry (DPSM 2001, p.67).

From the above discussion it can be concluded that performance in the Botswana public service has been a major concern to most stakeholders and the nation at large, characterised by low work performance and poor service delivery. Therefore, it is only meaningful to undertake a study which is aimed at the development of a model for the evaluation of training

and development in the Botswana public service. The result of this study can be used by:

- Policy makers in all ministries of the Botswana public service who are responsible for the development and implementation of a training policy and procedures;
- Managers in the Botswana public service who are responsible for the management of training and development;
- Training officers and managers in parastatal organisations;
- Training officers and managers in the private sector;
- The Botswana Public Service Training Advisory Committee members (PASTAC);
- The Directorate of Public Service Management (Division of training and development);
- Ministerial training co-ordinators and managers; and
- Departmental training co-ordinators and managers.

1.5 OBJECTIVES OF THE STUDY

The purpose of this research was to develop an integrated model for the evaluation of training and development initiatives in the Botswana Public service. More specifically, the objectives of this research are to:

- Determine from relevant literature what evaluation strategies should be utilised to effectively evaluate training and development in organisations;

- Develop a theoretical model or framework of evaluation strategies that can be used by the Botswana public service; and

- Make recommendations to the Botswana public service and private sector organisations on effective strategies to be used for evaluating training and development initiatives.

1.6 DEMARCATION OF THE RESEARCH

Demarcation of the research enables the research to be focused and manageable.

1.6.1 Training co-ordinators and managers

The research targeted training coordinators and managers and departmental training co-ordinators in the Botswana public service. Training co-ordinators and managers are directly in contact with employees and responsible for the management of training and development in the Botswana public service, while the employees are the beneficiaries of the strategies.

1.6.2 Geographical demarcation

The empirical component of the study was limited to the Botswana public service organisations within Gaborone, Botswana.

1.6.3 Organisation demarcation

The study was limited to the public service for the purposes of this study and entails:

- The civil service;
- Local authority; and
- Government parastatals.

1.7 RESEARCH DESIGN

This section describes strategies or procedures that were used in data collection and analysis in order to come up with answers to the problem. This section focuses on the research design.

This study was intended to investigate the strategies for evaluating training and development initiatives used by the Botswana public service and to suggest concrete and effective practical evaluation strategies. The following procedures were used to solve the main problem and the sub-problems.

1.7.1 Literature study

A thorough study was conducted to explore what the literature reveals on strategies for evaluating training and development initiatives. The literature addressed sub- problems one and two. The literature focused on:

- The definition of training and development;
- The effectiveness of training and development initiatives in organisations;
- Issues in the evaluation process;
- Evaluating change due to training and development; and
- Effective strategies for the evaluation of training and development initiatives.

1.7.2 The empirical study

A quantitative research design was used. This approach requires that data be expressed in numbers (Struwig & Stead 2001, p.7). This design is suitable when large amounts of data are collected from a large target group. For the empirical study a self-administered questionnaire was used as the data collection method. A self-administered questionnaire is easier to administer and allows for greater anonymity than interviews.

The development of the questionnaire was based on key aspects of training evaluation as explored and identified in the literature study. The questionnaire was used to explore the extent to which the strategies for evaluating training and development initiatives identified in the literature study are applied by the Botswana public service. The questions asked were to try to establish current strategies for evaluating training and come up with recommendations on strategies for evaluating training and development in the Botswana public service. A Likert-type scale was utilised for sections B to C of the questionnaire. The questionnaire consisted of the following sections.

Section A: Biographical data.

Section B Training and development evaluation strategies.

Section C: Critical organisational factors.

1.8 OUTLINE OF RESEARCH THESIS

The thesis includes the following chapters:

Chapter 1: Contains the introduction, problem statement and outline of the research project.

Chapter 2: Discusses the historical background of the Botswana public service and reform programmes.

Chapter 3: Covers the conceptual framework for training and development.

Chapter 4: **F**ocuses on evaluating training and development.

Chapter 5: Describes the empirical methodology and analysis the biographical details of respondents.

Chapter 6: Covers the analysis and interprets the results of the survey.

Chapter 7: Presents the summary, the recommendations and the conclusions of the study.

1.9 CONCLUSION

The objective of this chapter was to place the research study in perspective by providing an introduction to the study and stating the main problem and the sub-problems. Chapter two provides the history of the Botswana public service, the government reform programmes and a critical analysis of these programmes with a view to determining how these programmes have improved service delivery in the Botswana public service sector. Also covered in this chapter are future reform programmes to be introduced in the public service in the near future.

CHAPTER 2

HISTORICAL DEVELOPMENT OF THE BOTSWANA PUBLIC SERVICE AND REFORM PROGRAMMES

2.1 INTRODUCTION

In chapter one, the main problem, sub-problems, demarcation and the significance of the study were discussed. Poor service delivery in the Botswana public service which forms the main problem of the research study was discussed in details. Key concepts were also defined and the research methodology used for this study was discussed.

This chapter focuses on the historical perspective of the Botswana Public service. This chapter will also cover a discussion on reform interventions introduced by the Botswana government to improve service delivery in the public service, reform endeavours which include amongst others: the Botswana National Productivity Centre, privatisation, work improvement teams, and performance management system, performance based reward systems, decentralisation initiatives of service provision, and training and development in the Botswana public service, future government reform programmes and conclusion.

The above reform programmes were aimed at addressing poor service delivery in the Botswana public service which persisted over a long period of time. These reforms were intended to not only improve service delivery, but also to improve the country's competitiveness in the global village.

According to Leigh (1997, p.57), positive changes have occurred in the economy especially with respect to gross domestic production growth and to some extent employment creation. Factors that have impacted on the

productivity of the country include amongst others the development in the usage of factor inputs over time. Leigh (1997, p.67) states that Botswana's capital stock has grown at rates that are faster than those of the labour force. It is estimated that over the three decades following independence, Botswana's capital stock grew at an average rate of 7.2 per cent whilst the labour force grew at an average of only 2.8 per cent.

Consequently, the capital intensity in production increased dramatically over this period. On the labour front, there have been significant changes in the quality of the labour force as evidenced by the improvements in the skill composition of employed Batswana and the general increase in literacy rate of the population as a whole. The joint effects of the rapid increases in both quantity and quality of inputs are expected to yield rapid output gains over time.

Leigh (1997, p. 77) further notes that although Botswana's economy has recorded remarkable growth rates in the past and continues to register positive growth rates in output, this growth has been falling short of the targets set in Vision 2016. Simultaneously, several privations confronting the country have emerged. Key concerns dampening the celebration of past economic development achievements include high and growing unemployment, a lack of economic diversification, high HIV/AIDS infection rates and increasing poverty rates.

Botswana's unemployment remains in the two digit level and in recent years has been on the increase compared with the trend observed in the 1980s. The latest estimates put unemployment rates at 24 percent whereas in the early 1980s it was estimated to be 10 percent. During the National Development Plan 8 period the unemployment rate averaged 20 percent, thus highlighting the need for more intensified efforts in

employment creation during the National Development Plan 9 period (Ministry of Finance and Development Planning, 2005, p.167).

Research findings from a National Productivity Perception Study (2001, p.89) indicates that about 41.3 per cent of the population have full knowledge about productivity in Botswana and that this percentage is not reflected in the productivity levels of the country. In other words, knowledge of productivity by at least half of the population is not translated into performance.

The central task facing developing countries like Botswana is to move away from the straightjacket of fact-driven national advantage. Too often competitive advantage in the developing countries tends to be almost exclusively in industries where natural resources, cheap labour, localisation factors and other basic factor advantages provide a fragile and often fleeting ability to export. Competitive advantage based on innovation and productivity rather than the abovementioned factors is however, created over a decade or more, not over three to four years of business cycles. It is conditioned by issues such as investment in human capital, improved technology, better management systems, optimal resource allocation, and a positive relationship between labour and management.

In his State of the Nation Address, President Festus Mogae (2006) challenged Batswana that now is the opportune time to translate productivity awareness into the right attitude and goals to improve performance in all activities at all levels of government.

The President further pointed out that recent global developments point to the growing importance of productivity, particularly at the country's present stage of development. Festus Mogae stated that similarly, recent international competitive rankings for the country have presented a mixed

bag scenario, with admirable/laudable rankings for some indicators and hideous rankings for other indicators especially in relation to business competitiveness factors.

President Mogae reiterated that for the country to continuously improve its international competitiveness there is a need for all concerned parties to concentrate on those factors that are known to lead to a low international ranking as indicated in various internal competitiveness reports. A starting point in this regard could be addressing those factors that have been highlighted as the most problematic for doing business in Botswana because they are putting the country in a bad light with respect to productivity and global competitiveness.

Mogalakwe (2001, p.20) observes that labour productivity is one area that unites people across various ideological and political persuasions. He fully realized that without productivity human societies will cease to exist. Productivity is the centre of civilization. The author notes that productivity cannot be learnt but must be perfected.

Ramaphosa (1997, p.67) urges the public service to move away from simplistic notions that paying workers less and working longer hours will increase productivity. He further notes that the public service needs to examine the structural, institutional and managerial shortcomings in the economy, and develop better approaches to effectively provide service delivery. He urged companies to invest in training and development in order to remain in business and competitive.

2.2 HISTORICAL BACKGROUND OF THE PUBLIC SERVICE

The Botswana public service has grown by leaps and bounds since independence in 1966. The public service sector accounts for about a third of the total employment and central government is the single largest employer in the country. According to recent statistics total employment in the Botswana Public service stands at around 100 000 (Department of Central Statistics 1998, p.97). The statistics indicate that government employs about 82 000 and local authorities employ about 18 000 people. According to Mogalakwe (2004, p.21), the public service has grown tremendously compared with the 9,000 at independence. He further poses the question of whether the management style is changing or is still that of 1968. This in turn impacts on the quality of service delivery in the public service.

While the public service has expanded steadily over the years the following problems have emerged: absenteeism and lateness to work, poor public relations, and outright public criticism have been posing serious challenges to management. This trend has affected the government's efforts to improve the economic and social well-being of the public. The national economic development does not only depend on natural resources but the quality of the public services rendered is also equally important and can therefore, not be overemphasised. There is therefore a need to improve productivity in the Botswana Public service.

Botswana has gone through major transformation since independence in 1966. The major achievement for the country has been the development of the National Vision 2016, which sets out in detail strategies that will enable Batswana to reach their national aspirations. Botswana has National Development Plans, which are earmarked every six years when priorities are set and reviewed. The government also introduced public

service reforms that are aimed at improving and promoting quality service in the public service. According to Botswana Institute of Development Policy analysis (2005, p.89), the Botswana public service has formulated policies, procedures and plans. However, implementation of these guidelines remains the biggest challenge and delivery eludes the entire government system.

Like any other performance improvement initiatives, there have been significant improvements in improving performance and productivity levels through implementation of reform initiatives in the public service. Magosi (2005, p.78) concurs with Mogalakwe (2004, p.22) in that the performance of the Botswana public service has been a major concern in view of the many government efforts to improve performance. He further notes that the government has spent millions of pula on consultancy endeavours to revitalise public service performance, but to no avail.

Magosi (2005, p.78) identifies the following areas as major factors contributing to poor service delivery:

- Firstly, there are plans and resources; nonetheless the public sector has been unable to deliver on the promises that the government made to the constituency;
- Secondly, the public service has become insensitive and assumes that civil servants are masters not servants;
- Thirdly, planning in the public service is not aligned with budgeting processes; and
- Finally, the government should harmonise individual and organisation performance with the intended governmental strategic plan to achieve effective performance and quality service delivery.

Mogalakwe (2004, p.34) brings another dimension on the issue of poor performance in the Botswana public service sector. He points out that Botswana public service managers in different levels do not know the aspirations, desires, fears and personal troubles of their staff.

Mogalakwe (2004, p.34) suggests that the impersonality of the bureaucratic system is compounded by its numerical immensity. Thus, most employees feel lost in the bureaucratic jungle, they feel that their contribution is not appreciated or that no matter how hard they work, nobody notices. At the same time, even the demography of the public sector has changed. New and young people with different expectations, values and lifestyles have entered the service. Mogalakwe (2004, p.67) further notes that these young people are on the average better educated than the 1960s entrants were. The younger entrants have either “O” levels or junior degrees, and they are ambitious. Mogalakwe concludes by stating that the productivity problem in the public service is not the expansion of the labour force, but management style does not take onboard all these changes. The psychological disposition alluded to above requires new management techniques to deal with the new and fast changing public sector.

2.3 PAST REFORM PROGRAMMES

Botswana has gone through major transformation since independence in 1966. The major achievements for the country include the development of the National Vision 2016 for the public service, which sets out in detail strategies that will enable the nation to realise its national aspirations. In addition, since independence the Botswana governments have been committing the available national resources to providing essential public service to the citizens.

Productivity in the Botswana civil service is the facilitation of the total development of its employees, and the assurance of efficiency and effectiveness. The government has introduced many reforms to shape the public service into an efficient instrument. The purpose of reforms is to improve existing structures, functions, and systems for effective and efficient service delivery by the public service. It has now established the Botswana National Productivity Centre (BNPC) as a parastatal which will entrench productivity at a national level. The government of Botswana has approved the strategy for productivity improvement in the public service based on the Singapore model of Work Improvement Teams (WITS). This work improvement should shape the public service into an effective and efficient entity (Department of Public Service Management 1993, p.3).

Reform programmes are aimed at bringing pride to the employees in the good service they provide and to earn them the recognition and the respect of the public they serve with dedication, honour, respect and in so doing, to provide essential services for the development of the country and its people. Performance improvement strategies may also result in self-actualisation and a happier and more productive workforce. These strategies rely on constant improvement of skills, merit assessment and open competition for progress, good labour practices and positive attitudes of civil servants to embrace productivity in the public service sector.

According to the African Competitiveness report (Department of Public Service Management 1998, p.117) indicates that Botswana's civil service was rated 15th, for hiring and dismissing practices, out of a total of 23 African countries that have been surveyed by the World Economic Forum. This means that although the overall position was 3 out of 23 African

countries (the best after Mauritius and Tunisia), the civil service as one of the determinants of this position did not perform well. Therefore, the performance of the civil service forms part of Botswana's "burning platform". The question is what is the government doing to improve the situation? Vision 2016 made it clear that the performance of the public service is not incidental to Botswana's success. Countries are competing internationally not only in the market place but on the quality of their public sectors.

Bakwena (2000, p.34) observes that the international competition and globalization of economies is placing sustained and strong pressure on government to improve competitiveness. Across the board and, as a result, public sectors everywhere are under the spotlight. This enables the public service to compete with the best practice organisations worldwide. The public service leaders must adopt and apply the values and characteristics that are common to high performing organisations. These organisations have the following characteristics:

- Committed, participative leadership;
- Focus on the customer;
- Are driven by performance;
- Seek continuous improvement;
- They are innovative and flexible;
- Emphasise trust, integrity and personal growth;
- Communicate through simple, focused information systems; and
- Re-engineer management systems (Bakwena 2000, p.34).

2.3.1 Botswana National Productivity Centre

The Botswana National Productivity Centre was established by the government with assistance from the Singaporean government to begin productivity campaigns and provide training for all stakeholders both from the public and private sector on issues of productivity. In this section the scope and review of productivity will be covered and also the concept of science and technology and information technology will be highlighted and they impact on competitiveness of the organisation both in the public and private sector. Issues of organisational behaviour and productivity, quality, challenges, readiness for change, management and creating a viable organisation will be covered in the latter part of this section.

Since independence in 1966, National Development Plans, which covered a period of five years each, have been drawn up as instruments to be followed in the orderly and prioritized delivery of service to the nation. Packages of priorities that each ministry had indicated they could tackle within the planned period were formalised. Adequate manpower resources were at the same time provided to enable the projects to be executed and after execution, maintained (Department of public service management 2002, p.2).

The Botswana National Productivity Centre was established in January 1993 to spearhead the Botswana Productivity Movement. It became a parastatal organisation in 1993 with the passing of the Botswana National Productivity Centre Act. Under this act, the objectives of the Botswana National Productivity Centre included the following:

- Stimulate and generate productivity consciousness in the Botswana public service;
- Promote increased productivity in all aspects of the economy;

- Improve and develop standards of management in all aspects and at all levels;
- Promote good labour/management relations; and
- Foster equitable productivity gain sharing between management, workers and consumers.

Mogalakwe (2004, p. 77) points out that it was in recognition of the importance of productivity that the government created the Botswana National Productivity Centre in an attempt to raise productivity consciousness in the country.

The mission of the Botswana National Productivity Centre (BNPC) is to become the national facilitator of productivity and quality knowledge and methods. Through empowering others to act as change agents, the centre will enable individuals, organisations and the nation as a whole to use productivity and quality practices to bring about personal and collective success.

2.3.1.1 Scope of the project

According to Lebang (2006, p.14), the BNPC needs to set realistic goals to fulfill its mandate. The centre has to have relevant data on productivity and quality. This project was undertaken in response to BNPC's invitation to tender and to conduct a survey and analysis of productivity, quality awareness and perceptions in Botswana. The main objectives of the above mentioned productivity study were to evaluate productivity and quality awareness in Botswana since 1997 under the following guidelines:

- Establish the level of awareness to enable the Centre to develop strategies for further awareness campaign packaging and targeting of productivity interventions;

- Find ways of promoting and encouraging increased productivity to improve standards of management, foster good labour-management relations and generally stimulate productivity consciousness in Botswana;
- Measure the level of productivity and quality awareness.
- Identify productivity and quality needs in rural and urban areas;
- Formulate recommendations that will guide the campaign strategy;
- Uncover perceptions regarding productivity and quality with particular emphasis on customer service and competitiveness;
- Elicit views regarding appropriate actions necessary to improve productivity and quality;
- Identify most or at least receptive groups to productivity and quality concepts;
- Identify factors attributable to increase/decrease or cause stagnation of productivity awareness levels; and
- Measure the degree to which organisations have embraced a mindset of doing things in a better way with a view to improving productivity, and identifying potential pressure groups that can assist in enhancing productivity and quality awareness (Productivity Statistics report 2004, p.106).

2.3.1.2 A brief review of productivity

Concern about the low productivity in the Botswana Public service and in the country generally dates back several years. Political leaders and researchers have noted repeatedly that productivity levels in the country left much to be desired, and had made regular reference to serious shortcomings such as absenteeism, lateness at work, poor public relations and outright failure to implement government policies and projects. While admitting the existence of these problems, many observers have also pointed out that these are not insurmountable problems. The issue of

tackling the problem of low productivity featured prominently at a conference held in Francistown in 1988 on Private Sector Development, which consequently recommended the establishment of a Productivity Centre to help promote and improve productivity in the country.

Government consequently accepted the recommendation, but it also decided that, a search for an appropriate productivity initiative-by-way of a study tour of countries that have already implemented productivity improvement programmes would be carried out.

Productivity is a measure of the relationship between inputs such as labour, capital or natural resources, and the quantity outputs such as goods and services. It is a concept that is used to measure how well the inputs are used to achieve outputs. Productivity indicates the efficiency of operations and thereby suggests their profitability. However, there are factors that affect productivity such as information communication technology, science and technology and human resources (Bakwena 2000, p.90).

Productivity represents an individual's or an organisation's ability to convert resources into quality goods and services that meet market needs. Two notions that can be used to best define productivity are effectiveness and efficiency. Effectiveness is long-term oriented whilst efficiency is short-term oriented. Thus productivity is the effective and efficient use of resources (inputs) to produce goods and services (outputs) required to satisfy human needs. The definition is consistent with that of contemporary literature which states that efficiency is "doing things right" and effectiveness is "doing the right things".

Mogalakwe (2005, p.67) states that the output of the country's economy depends on the individual outputs of the companies, organisations and

any other group engaged in economic activities. The outputs are grouped together in a single figure that expresses the efficiency of the entire economic activities and is termed the Total Productivity Index (TPI). It's formulation includes a statement of the value of the product or service produced and a summary value of all its inputs. The summary value in this contest refers to the overall inputs from different sectors of the economy. The companies, organisations and any economically active groups in turn depend on individual employees to produce high quality goods and services. It is important that a productivity awareness campaign be extended to the lowest level of economic activity. For the long-term benefit of the country and maximum achievement of goals and objectives of the project, the consultant agrees that productivity must be cascaded down the different levels of the organisational structure to leverage productivity and quality awareness in Botswana.

2.3.1.3 Science and technology in Botswana

Botswana has a science and technology policy which can be regarded as a set of government directions backed by strategies to stimulate, organize and use scientific and technological potentials in order to achieve national, economic, social and cultural development goals. The policy is multi-sectoral and its overall goal is to achieve sustainable and social economic development to meet the present and future needs of the nation through the standard and quality of the lives of Batswana (Botswana Technology Centre, 1996). In addition, the science and technology policy includes amongst others the following basis of production:

- Establish and strengthen the national capacity to evaluate, select, adapt develop, generate, apply and disseminate suitable technologies to realise national socio-economic objectives, as well as conversion of natural resources;

- Develop, improve and raise the national productive capacity and competitiveness through efficient application of S&T;
- Promote and develop traditional, new and innovative technologies; and
- Improve and develop the scientific and technological awareness, knowledge and culture of Botswana (Botswana Technology Centre, 1996, p.6).

2.3.1.4 The impact of science and technology on productivity

The vision of any government is to provide balanced economic growth and development, political stability and security, and mobilize the country's own resources for sustainable development.

It has been emphasised that development does not merely imply a high per capita income. Rather, it implies a capability to produce a wide variety of goods and services at reasonable cost with minimal wastage.

Bakwena (2000, p.95) explains that Botswana can be regarded as a rich country, while its citizens are poor. The reason for the growing disparity between the country's fortunes and that of it's people is due to Botswana's inadequacy in science and technology. In the modern world, development and technology are becoming amore and more synonymous with science and technology (S&T), including information and communication technology (ICT). These are acknowledged as the most important tools for industrial and economic development.

They are powerful drivers of economic growth and improvements of quality of life in a nation, and investment in science and technology has produced real results and paid handsome dividends in the advanced countries of the world. In this context, science can be defined as

ascertained and verifiable knowledge about nature accumulated from observed and tested facts, while technology can be defined as a scientific knowledge for the production of goods and services (Mshingini 2001, p.96). Also, ICT is the interconnected set of technological and organisational innovations in electronic computers, software engineering, control systems, integrated circuits and telecommunications that have made it possible to collect, generate, analyse and diffuse large quantities of information at minimal cost. Through the use of science and technology and information and communication technology the public service can improve its service delivery.

2.3.1.5 Information and communication technology

The world is currently going through an information era revolution and it is facing the deepest, fastest and most generalised transformation throughout history. Production and management today is characterised by productivity and competitiveness based on the generation of knowledge, and diffused through the global economy, influencing the spatial distribution of economic activities (Elull 1999, p.67).

The power of information is overwhelming. Events in one part of the world can be transmitted instantaneously to every corner of the globe. Information highways have resulted in instantaneous decision making, thereby reducing time, effort and the cost of transactions within and across borders. There is a radical economic shift where the value of information, knowledge and processes is fast outgrowing the sum of agricultural and industrial commodities, and computers are becoming the livelihood of today's business (Elull 1999, p.67).

Elull (1999, p.67) adds that information technology has become an indispensable tool that can be used to advance productivity in all spheres

of life. Information technology has increased the ability of individuals and organisations to influence operations beyond their geographical boundaries, thus enhancing the process of globalisation. People advertise through the internet and access markets without using the middleman. Some of the emerging trends include e-commerce, e-business, tele-medicine, tele-conferences, e-education, borderless education and virtual universities with no campuses.

Certainly, the opportunities presented, by ICT, and its ripple effects on productivity and the way people work, are enormous and mind boggling. It will however be naïve to think that ICT offers only opportunities and no challenges.

As a result of the current advances in S&T especially in ICT, production is shifting from low-wage developing countries to high-wage developed countries, and having a large or cheap labour force will not be an advantage in the new global economy (Meadows 1992, p.90). The wealth of the future will be created largely by knowledge and technology and not by natural resources and large populations. Even right now, rich nations use information to create wealth. African countries, including Botswana, try to create wealth by exporting raw materials to the more affluent nations.

Undoubtedly though, ICT is already part of people's daily lives, and it will be a critical part of the country's productivity process. It is important to note that ICT is a double-edged sword and its successful exploration will depend on a delicate balancing act. Information communication technology offers Botswana opportunities that should be harnessed, and it poses risks that should be minimised (Elull 1999, p.68).

2.3.1.6 Human resources

Human resources and technological material resources are factors that complement each other in any productivity process. However, one of the biggest problems facing Botswana today is the acute shortage of scientists, professionals and technical manpower, and that certainly has serious repercussions on the level of productivity. Assimilation of science and technology prescribes a fairly well-educated and trained workforce. Education fosters “belief”, while training fosters confidence, two elements which are essential in the production of goods and services in any industry.

The increased value placed on acquiring, manipulating and communicating data and knowledge increasingly places work not in a particular geographical location but wherever the knowledgeable and skilled workforce resides. Industrial jobs are being transformed into technological jobs. In addition, analysis of major policy issues facing the citizenry, whether in healthcare, social policy or the environment, increasingly requires some familiarity with science and technology (Elull 1999, p.89).

Although Botswana has made commendable progress in ICT and has computerised networks in government and institutional offices, many computers are merely used as glorified typewriters, and are not used to their full potential due to a lack of adequate knowledge. Worse still, as a result of ‘technology lag’ and probably decay in the work ethos, these computers are being used as gadgets of leisure like playing cards and surfing the internet during working hours, activities that are certainly not in the employee’s job descriptions.

Another serious problem facing Botswana is that of qualified personnel in fields such as engineering, medical, research and development. Elull (1999, p.101) argues that one of the critical elements which determines the competitiveness of nations is the population density and quality of its engineers. The author argues that a key to the success of countries such as Japan and the USA which could be directly linked to the emergence of technological advancement.

The key to understanding the importance of fields such as engineering is to note that an economy is constituted on assets (accumulated wealth) and the transformation process (production, etc.). Competitiveness combines assets and processes assets which are inherited (natural resources) or created (e.g. infrastructure), and then internationalisation which tests the formula in the international markets creates a competitive world.

2.3.1.7 Organisational behaviour issues on productivity and quality

One of the major focus areas of Botswana National Productivity Centre is aiding institutions in the country to improve their level of awareness of productivity and quality issues and, where possible, aid them in implementing productivity and quality related policies. The following section will focus on the relevant section of literature in the field of organisational behaviour with a focus on both structural and human behaviour issues.

2.3.1.7.1 Challenges

Porter (1998, p.256) explains that in the modern global economy, prosperity is a nation's choice. Competitiveness is no longer limited to those nations with a favourable inheritance. Nations choose prosperity if they organise their politics, laws and institutions based on productivity.

Kgarabe (2004, p.6) observes that even though Botswana has experienced phenomenal economic growth during the last thirty years, this growth was not evenly spread across both the private and public service sectors and this presents challenges to economic development. The biggest challenge facing Botswana in its industrialisation efforts is the need to foster sustainable growth of non-mineral economic sectors (economic diversification) and employment creation. It is however, important that the aspiration of the country be matched by the levels of its commitment on productivity issues. Kgarebe (2004, p.44) alludes to the fact that it is unwise to further create development without taking into consideration the productivity levels that inform the competitiveness of the country.

2.3.1.7.2 Readiness for change

Readiness for change is an imperative attitude for organisations to successfully implement the new productivity and quality assurance policies. Change management theory asserts that for change to be successful, change should match the prevailing culture of the entity initiatives, and resistance to change must be overcome. Harvey, Donald and Brown (2001, p.438) emphasise the importance of changing the corporate culture and further state that there is general agreement that effective organisation culture can result in superior performance. There is also considerable agreement that organisations facing discontinuity – out

of touch with the environment may need large-scale cultural change. However, changing the organisational culture is often difficult because the culture is based upon past success. Therefore, members of the organisation may hold deeply entrenched beliefs and strong personal investment in the existing culture.

Harvey et al., (2001, p. 439) note that the organisational culture may inhibit the implementation of strategy and prevent the firm from meeting its competitive threats or from adapting to changing economic conditions. This can lead to a firm's decline, stagnation, or even ultimate demise unless the culture is changed. Likewise, it is important for the public service culture to change in order to accommodate performance improvement initiatives and that these endeavors become fruitful.

2.3.1.7.3 Management

Though the following literature focuses on quality, it should be noted that productivity and quality responsibilities for management cannot be de-linked. They are two sides of the same coin.

Somolekae (1996, p.67) places a heavy responsibility on management for quality achievement. The author argues that 75% of quality deficiencies can be traced to management. She further adds that quality must be led from the top and that the CEO must be directly involved in quality, spending a significant amount of his or her time on quality issues.

2.3.1.7.4 Creating a viable institution

Somolekae (2005, p.67) notes that an institution is viable if it can adapt and evolve in its operational environment. Failure to evolve may result in collapse of the enterprise. The ability for the organisation to evolve is

constrained by the dysfunctional part of the enterprise. The Botswana public service has been evolving at a slow rate due to its bureaucracy, lack of implementation capacity and change in organisational culture.

Mogalakwe (2001, p.90) argues that the government has not done enough in the improvement of capacity building in the Botswana public service. He further laments the inconsistency on implementation of various government policies designed to improve service delivery in the public service sector and other parastatals. Mogalakwe (2001, p.93) recommends that all stakeholders should play a critical role in the creation of a viable public service based on the founding principles of the Vision 2016 so that the quality of service delivery may become an integral part of every public service manager's; strategy and planning.

Based on the above, the author can infer that productivity, quality initiatives and achievement or failure in organisations are all dependent on institutional viability.

The latest endeavours to raise productivity in the public service by the Botswana government include amongst others, the establishment of the Botswana National Productivity Centre and through the exhortations by government officials. But the scientists including the social scientist distinguish between necessary and sufficient conditions for the phenomenon to occur. The creation of the BNPC and other productivity initiatives are certainly necessities for high productivity, but are not sufficient on their own. The development of a sense of national pride will create self-confidence. The creation of capacity-building institutions such as the BNPC will go a long way in improving productivity in Botswana. It is important that stakeholders do not only talk about productivity, but create material conditions for its existence. Privatisation is one of the public

reform programmes introduced by the government to improve public service delivery.

2.3.2 Privatisation in Botswana

Privatisation has been adopted by other African countries to improve service delivery in public entities and enterprises. In Botswana, the issue of privatisation was received with mixed feelings particularly with organised labour who felt for morale reasons the government should not go head with the implementation of the process as it has far reaching implications to the workforce.

In the previous section the BNPC was discussed with a view to establishing how the institution has met its mandate of improving service delivery in the Botswana public service sector. This section will cover an in-depth discussion on privatisation and how far the strategy yielded fruits, its demerits and where it went wrong.

Gergis (1999, p.8) notes that the performance of public sector institutions has been disappointing to say the least in many developing countries. While privatisation is among the policy options for public sector reforms, other reform mechanisms can also be powerful tools when properly implemented.

2.3.2.1 Background

Privatisation in Botswana was formally adopted by Parliament in the year 2000. While many Sub-Saharan countries have adopted privatisation at the insistence of the International Monetary Fund (IMF) and the World Bank, this has not been the case in Botswana. Privatisation in Botswana is an internally generated strategy that is intended to improve not only the

performance of the public enterprise sector, but also that of the public sector in general. Privatisation is also the fulfilment of government's commitment to make the private sector an engine of economic growth (Molosiwa 2001, p.64).

According to the government Policy Paper on Privatisation (Paper N0 16 of 2001, p.77), the strategy to be adopted is dependent on the existing situation in as far as policy implementation is concerned. These include commercialisation, corporatisation, contracting out, franchises, leases, concessions, liquidation, selling assets, fragmentation and unbundling and stock market floating. The choice of any method is dependent on the objectives to be achieved, and in Botswana, the methods adopted were through the recommendation of the Public Enterprises Evaluation and Privatisation Agency (PEEPA) whose mandate is to work out all the modalities and logistics of the privatisation exercise. However, it has become apparent that the Government's intention is not to sell public enterprises, but to commercialise and contract out some of the activities both in government departments and public enterprises.

Molosiwa (2001, p.64) explains that any method of privatisation has its own distinct characteristics, and hence will have a distinct form of implications. She further observes that, any form would require a particular policy framework to be put in place before it can be implemented. This implies that any choice of strategy would be made with such peculiar characteristics in mind.

2.3.2.2 Implementation of privatisation

The questions that arise are; has the Botswana government achieved the above mentioned objective on privatisation or not, and if not what went wrong? Sceptics and proponents alike, have arguments for and against

privatisation even before its implementation. It is obviously important to define what is meant by privatisation. According to Gergis (2001, p.71) privatisation must be well defined in privatisation programmes. He defines privatisation as:

- The transfer of ownership from the public to the private sector;
- Leasing of such assets while maintaining public ownership;
- The transfer of management of public entities to the private sector through management contracts; and
- Contracting out (outsourcing) of public services to the private sector; and deregulation and liberalisation.

Potential benefits and costs of privatisation must be critically examined and evaluated.
Privatisation plans should identify ways to overcome or mitigate the worst potential impacts of privatisation and structural transformation and to support and reinforce positive outcomes.

Privatisation in Botswana has been adopted on the premises that it would bring about the following benefits:

Firstly, it promotes competition; it improves efficiency and increases the productivity of enterprises;

Secondly, it increases direct citizen participation in the ownership of national assets;

Thirdly, privatisation accelerates the rate of economic growth by stimulating entrepreneurship and investment;

Fourthly, it withdraws from government those commercial activities which no longer need to be undertaken by the public sector;

Fifthly, it reduces the size of the public sector; and

Finally, privatisation relieves the financial and administrative burden of government in undertaking and maintaining a constantly expanding network (Molosiwa 2001, p.57).

Taking into account the objectives and the definition of privatisation in the Botswana's context, it is evident that like other government policies, procedures and strategies, the implementation of privatisation in Botswana has been a major problem.

Sentsho (1999, p.14) notes that privatisation could have yielded positive results if it had something unique to Botswana or thoroughly creative to give the country competitive advantages. Sentsho further observes that the privatisation process has failed to come up with values, norms or beliefs that can make Botswana globally competitive. The author is of the opinion that there is a need to search in every nook and cranny for something uniquely indigenous that can make the country competitive and have a diversified economy. Sentsho (1999, p.15) believes that privatisation should not create institutions that do business as usual. It should create situations in which it will be unusual. This is particularly so when public service delivery is factored into the equation.

2.3.2.3 Case studies

The Tanzanian experience shows that improving individual and collective performance requires changing people's attitudes, and values together with a complete overhaul of the management system. In Tanzania,

problems have been identified and strategies have been developed to overcome them. These included increasing the involvement of the private sector in the service delivery as it continues to grow and mature and taking initiatives to improve the performance of the public service sector workforce (Gergis 1999, p.13).

Gergis (1999, p.17) further states that, judging from experience in Singapore harnessing the qualitivity (combining quality and productivity) of employees seems like a good idea that can be adopted by the public service. Top management must be willing to listen, supervisors, must be willing to change, while employees at the operating level must be willing to trust the organisation.

Gergis (1999, p.35) points out that the lesson learnt from the Dairiboard Zimbabwe Limited case study is that the development of strategic alliances is one way of enhancing the operational efficiency and effectiveness as well as the productivity of state enterprises. The essence of turnaround is to focus on core-business activities and sharpen competitive advantages. Outsourcing or outcontracting is one avenue through which competition and productivity can be enhanced.

Kenya Airways is one of the success stories in Africa in recent times. The success of Kenya Airways privatisation experience can be attributed first and foremost to the Government's political will and clear objectives and sense of purpose. The three factors are the choice of top management, the choice of a competent privatisation advisor and the choice and use of a competent strategic partner (Gergis 1999. p.45).

According to Gergis (1999, p.45) the Jamaican experience confirms that:

- Privatisation must be part of a comprehensive reform programme;
- Privatising public utilities requires a new regulatory framework;
- Privatisation will only succeed when the problem is transparent;
- Undeveloped capital markets in themselves are not major impediments to privatisation; and
- In the early stages it is important to develop the technical skills required to execute the privatization process.

Malasyia's privatisation was also a success. Unlike Botswana, Malaysia's privatisation policy has proven to be successful due to several factors which include the following. The acceptance of the privatisation process by both the government and people; privatisation is based on the Malaysia Incorporated concept that is to foster close co-operation between the private and public sector to achieve economic development. The Government is concerned with the viability and performance of the companies that undertake privatisation projects. Privatisation must be broad-based, covering various sectors of the economy. Malaysia's privatisation is transparent, and encourages the private sector participation, through various incentives (Gergis 1999, p.47).

When making comparisons between Botswana's privatisation and those of the abovementioned countries, it is clear that Botswana privatisation lacks credibility in many areas to improve public service delivery. Tanzania's case study on countries that have successfully implemented privatisation show that there were no external forces pressing privatisation upon them.

There is a growing need for reform measures to be introduced in the public service sector. Privatisation in Botswana has failed to enhance the productivity and efficiency which was anticipated. In an endeavour to

improve public service delivery the government of Botswana introduced yet another initiative namely Work Improvement Teams.

2.3.3 Work Improvement Teams

This section will cover a discussion on the mission of the Botswana public service, definition, and background, objectives of WITS, achievements and problems

2.3.3.1 Definition of Work Improvement Teams

Work Improvement Teams are a group of civil servants or teams of public officers from the same work unit, irrespective of divisional status who meet regularly to:

- Identify, examine, analyse and solve problems pertaining to work in their department or work unit;
- Identify and examine improvement opportunities and propose and implement improvement measures;
- Help to adapt the work unit and hence the department to changing circumstances;
- Discuss and conduct studies on how to improve their working environment, efficiency, effectiveness, quality of service, knowledge and skilled team work, work performance, use of resources, work goals, objectives and targets, systems, methods, procedures etc.; and
- To ensure job satisfaction (DPSM 1994, p.4).

The establishment of the National Productivity Centre and the privatization process are noble endeavours in addressing productivity-related problems and hopeflly assisting organisations, private and public sectors in their

workforce. The government of Botswana has identified the improvement of productivity in the public service as a critical need. In respect to the public service, the government has approved the creation of Work Improvement Teams in the public service. This was yet another initiative deliberately undertaken in order to address productivity-related issues in the public service. This strategy is a tried and tested method and could still be used elsewhere in the economy as a productivity-improvement tool.

2.3.3.2 The mission of the Botswana public service

Members of the public service are appointed on the basis of merit. They should serve Batswana by delivering the programmes of government and assisting ministers of the government in devising effective policies and programmes necessary for good government. The public service should adhere to the following values:

- Prompt and courteous service to people and loyalty to the government;
- Honesty and integrity, faithfulness to the principles of fairness and impartiality;
- Neutrality, transparency and permanency in the service;
- Professionalism and quality service;
- Frugality and prudence in the use of resources;
- Perseverance and patience in the pursuit of good service; and
- Respect for ministers, parliamentarians, and senior officials, members of the public and members of the public service (DPSM 2004, p.98).

In order to achieve the above objectives it is mandatory that the government introduce yet another performance-improvement initiative to facilitate the quality of public service delivery desired through teams.

2.3.3.3 Background of Work Improvement Teams

According to the DPSM titled Strategy for productivity improvement in the Botswana Public Service, the fundamental mission as mentioned in section (2.4.2.1) is to serve Botswana by delivering the programmes of government and assisting ministers in devising effective policies and programmes necessary for good government.

Ayeni and Young (1998, p.13) note that the importance of productivity improvement as a way of enhancing these and other vital attributes of the public service cannot be overemphasised. Productivity enhancement is at the core of all contemporary economies, particularly in the developing world. With recent phenomenal advancements in the political, economic, technological and other aspects of society, there has been increasing public awareness of, and a demand for, even higher quality goods and services. Improved performance is the key to the ability of countries and organisations to compete effectively in the prevailing environment of growing interdependence and interaction.

Ayeni and Young (1998, p.13) add that by the same token, raising workers' productivity has become an absolute necessity. With this reality in mind, the government of Botswana decided to adapt the WITS from Singapore as a tool for increasing productivity in the public sector. The programme was launched in 1993 as an integral part of a broader productivity enhancement drive.

Thus in 1991, a mission embarked on a study tour of Productivity Centres in South East Asia, which had achieved tremendous economic development over the previous decade. On its return, the mission re-affirmed the proposal for the establishment of a Productivity Centre. The committee further recommended that Singapore should be the model

country for the Botswana initiative. Following government's acceptance of its recommendations, a National Productivity Movement was officially launched in April 1993, beginning with the establishment of the BNPC with a nationwide mandate. At the same time, Work Improvement Teams (WITS) strategies were introduced as a means of improving the efficiency, effectiveness and quality of service provided by the civil service organisations (Ayeni & Young 1998, p.14).

During a three day state visit to Botswana, the President of the Republic of Singapore Mr Nathan encouraged his Botswana counterpart to continuously seek to improve public service performance for the country to be competitive in the global arena. President Nathan further commended Botswana on her achievement through public service reform programmes. The President Mr Nathan however cautioned the Botswana government and all stakeholders to ensure that the implementation process is done with the utmost caution to avoid failure (Botswana Daily News 2007, p.27).

2.3.3.4 Objectives of Work Improvement Teams

Work Improvement Teams (WITS) provide the channel through which management can directly and positively enhance employee morale and team spirit, and direct these to bringing about improvements in people, teams and organisational performance. Most importantly, the objectives of WITS are:

- Satisfying the civil service's needs:
- Inspiring a higher degree of teamwork and morale;
- Promoting job-involvement;
- Creating a problem-solving capacity in the team work;
- Instilling system, service, group quality consciousness or awareness in the team members;

- Encouraging self-management by members;
- Improving employee relations;
- Creating a problem-prevention attitude;
- Enhancing the quality of service, for example service to the public, service to other sections of the same organisation and service to other departments;
- Improving communication;
- Developing personal and leadership qualities and capabilities;
- Improving employee motivation, performance and productivity; and
- Creating a cheerful and harmonious job environment (DPSM 1997, p.4).

2.3.3.5 Achievements and problems of implementation

There are a number of achievements by WITS since they were formed. It is however important to note that there have been problems particularly during the implementation phase. These problems include amongst others; dysfunctioning of teams, lack of project completion, lack of senior management support and lack of evaluation of WITS.

2.3.3.5.1 Participation

It is mandatory for civil servants to participate in WITS activities. The civil service is broadly defined to include central government administration and local authorities. There are also plans to extend the programme to foreign missions. The strategy documents detail the responsibilities of all relevant role-players, regardless of in which sector they are located, in the implementation process. Ayeni and Young (1998, p.21) note that , the rate of participation differs from one ministry/department to another. A crude measure of participation is the registered WITS relative to persons in the workforce.

2.3.3.5.2 Problems of implementation

The WITS evaluation team identified the following problems of the WITS implementation process.

Firstly, According to (WITS Evaluation Report 2003, p.45), although the numbers of existing teams are appreciably close to the 550 projected 1998 in the strategy document, it should be noted that being registered is not sufficient to maintain an active and well-functioning team. Ayeni and Young (1998, p.21) add that some of the teams cannot, in all seriousness, be described as functional. Meetings were not frequently held, and the further one moves from Gaborone, the less satisfactory is the situation one finds. The evaluators further observed yet more concerns when team members are in small field offices, they do not work within the geographically specified area.

Secondly, the problem associated with the WITS implementation process is that teams do not complete their projects on time and this can be attributed to the fact that meetings are few and far apart which results in projects either being suspended or completely abandoned. According to the report, new projects are registered annually, although at the time of evaluation a total of 11 had been documented. Importantly, no project has been completed since 1998. Similarly, at least six teams are yet to settle down to identify any definite projects. Even in this apparently successful case, there are obvious areas of concern.

Thirdly, the WITS Development Unit (WDU) evaluation report indicates that the unit's performance is unsatisfactory and observers note that this unit has failed the WITS implementation process in the public service. The report indicates that in some cases teams chose projects beyond their scope and were consequently unable to effectively implement them (Ayeni

& Young 1998, p.2). Teams in such situations need help. Apparently, WDU does not currently have a qualified staff with the expertise to carry out the actual improvement projects. Such people should be trained in organisation and management (O & M) to serve as consultants to coach and develop the teams concerned. It was also observed that communication between teams is generally poor.

For example, there is no established newsletter which regularly publishes useful concrete experiences. There were similar concerns about the level of support received from top management, especially as regards their willingness to direct organisational resources towards the implementation process.

Fourthly, since 1997, the WDU begun conducting regular two-day WITS appreciation seminars for senior fficers to enhance their understanding, and hopefully to give greater support to tackling WITS performance issues. However, it is evident from the response of senior officers that, WITS is not a priority or they are not concerned with the concept of WITS. It will take quite some time for the impact of these seminars, provided that they are sustained, to become manifest. Nevertheless, the initial impression, at the level of participation is significantly influenced by a degree of leadership, support and commitment. Where top managers are supportive and involved, the participation of the rest of the staff turns out to be high. The opposite is the case where top management is indifferent to the concept, which is the case in the Botswana public service (Ayeni & Young 1998, p.22).

Fifthly, the evaluation of teams and trained facilitators is complicated, since they are too busy to evaluate the process. Others complained about the consequence of transfers and postings of officers by DPSM without regard to their role in the WITS programme.

It can be concluded from the above discussion that, the WITS implementation process had numerous problems and this has impacted on the programme in the Botswana public service. Some of these problems include amongst others, lack of interest by top managers as one of the highlighted problems that hampered the implementation of WITS. Manpower staffing (transfers for WITS members) has also grossly affected the implementation of WITS as a performance-improvement strategy. The performance management sysytem is one of the reform initiatives introduced by the government to improve service delivery.

2.3.4 Performance Management System

Performance management is based on the proposition that when people know and understand what is expected of them and have been able to take part forming these expectations, they will be able and willing to meet these expectations (Armstrong 1999, p. 8).

The performance of the public service sector employees in Botswana has been a major concern to the Botswana government. It has been characterised by low work performance and poor service delivery. Problem indicators included; absenteeism, lateness, corruption, theft, and a high degree of complaints, low quality work and poor turnover (Tshukudu 2006, p.8).

This section will cover a discussion on the background, benefits, problems of implementation relating to performance management systems and recommendations to supervisors managers, and human resources managers.

2.3.4.1 Background of performance in the Botswana public service

Any government's agenda often changes in response to the demands and expectations of the nation it is serving, including other internal obligations, and the external environment, in particular the competitive world. The government of Botswana and indeed the public service has nevertheless, achieved a lot over the past years since independence. A number of reforms and performance improvement initiatives were implemented during this period, some of which achieved their intended objectives.

The Training and Localisation Commission was established immediately after independence with the aim of ensuring that jobs are placed in the hands of Botswanans. Over the years localisation has succeeded in providing some of the local employees in the country and continues to do so, without any compromise to efficiency. The financial and manpower ceiling, introduced in the late seventies, has served a most useful purpose in that there no unaccounted for posts, ghost employees in the public service. The job-evaluation exercise, introduced to ensure that remuneration was commensurate with job responsibility, has sustained the pay-structure of the public service for many years. Organisation and methods (O&M) reviews were introduced to facilitate the establishment of clear goals and objectives by ministries and departments (DPSM 2002, p.134).

Since Botswana attained independence on the 30th September 1966, National Development Plans, which covered the period of five years each, have been drawn up as instruments followed in the orderly and prioritized delivery of services to the nation. Packages of priorities that each ministry had indicated they could tackle within five-year periods were listed and funding sought for their execution within the plan period. Adequate

manpower resources were at the same time provided to enable the projects to be executed and after execution, maintained (DPSM, 2002, p.42).

Execution of all the individual projects for the purpose of delivering services did not have any firm commencement and completion dates. With no target dates set for the commencement and completion of delivery of services to the nation, some projects were executed to fruition whilst others were not, necessitating their carry-over from one development plan to the next. The reasons for this have been many and varied, but the crucial one has been a lack of the performance management system to be used as an instrument for guiding the public service performance at both ministerial and departmental level. There were no detailed operational plans in place to guide ministries in their effective service delivery of projects. This has more often than not, resulted in major implementation problems (DPSM 2002, p.52).

Somolekae (2005, p.98) states that the achievement referred to above was also not without problems, which eventually made the public service inefficient. The current state of affairs, described below, has earned the government and the public service a bad reputation compounded by a perceived insensitivity to public demands, non-performance and the overall lack of accountability and discipline. More specifically:

- There is a perceived general waste of resources and inefficiency in managing these resources in ministries and departments. Lack of proper planning and management of funds have repeatedly resulted in non-completion of key projects, more funding for some projects and this has greatly affected the fiscus. Inefficient management of human resources has at times resulted in unwarranted posts in some ministries;

- Batswana are generally not involved in the decision-making processes, particularly with regard to their demands and aspirations. The public service is often viewed as being insensitive to what really matters to the public in terms of the services provided;

- The National Development Plans (NDP) present a macroplan for ministries and departments to follow, but often times there are few or no operational plans at organisational level to ensure delivery. There are no strategic plans, key goals and objectives coupled with very little information on performance and achievements of strategic obligations;

- There is a general lack of confidence in the public service by the nation compounded by unending public disquiet about the government as an ineffectual and inefficient service provider. The tax-payer is convinced that they are not getting their pula's worth; and

- The wind of change is continually sweeping across the globe and compels countries and their nations, often with limited choices and resources, to become competitive if they are to survive and sustain themselves. Botswana is no exception to this global frenzy and the public service is no doubt the main driver of this important initiative as the majority employer (DPSM 2002, p.134).

What started as a murmur by the public about non-delivery of services by Ministries and Departments of government has now become a loud accusation against the government at large, including local authorities. Government has for a long time been worried about this situation and

from 1994 and 1997 it has conducted an investigation into what steps could be taken to put things right. The outcome of the investigation was a recommendation that a completely modern system be adopted to improve the existing public service way of management, if productivity of these services were to be restored. The recommendation included the introduction of three reforms namely: decentralisation, computerisation of the personnel management system and a performance management system (DPSM 2001, p.111).

An efficient and effective public service is a prerequisite for higher economic performance. The Botswana government took a decision, based on the past history of the country's performance, to introduce the Performance Management System as a reform strategy to improve the government’s service delivery system and enable it to drive the economy to the desired level of performance (Botswana Public Service Reforms Unit 2006, p.3). The Performance Management System has been identified as the appropriate system to facilitate the necessary transition. This followed the recommendations made by Africa Economic Development consultants from their investigations into public service performance and evaluation of past reforms.

2.3.4.2 The benefits of a performance management system

Armstrong (1999, p.432) notes that a well-implemented performance management process is beneficial to the organisation, its managers and employees. The organisation is able to grow and satisfy both customers and stakeholders. Management directs and manages the organisation at a higher level of efficiency, characterized by performance management and maintenance of skills and values. Employees develop a sense of belonging and attachment since they view themselves as an integral part

of the organisation. But more specifically, the performance management system is beneficial in that:

- There is integration in the organisation, characterized by a shared vision, common values, communicated strategy and a universal focus on output. Everybody knows and understands where the organisation is going, why and how it is taking that direction, how they fit into the picture, and what is expected from them;

- There are clearly defined sets of standards or requirements for ministries, departments, divisions, units, and individual employees. They all know what is expected of them in terms of performance or achievement. There are no surprises for anybody at any given time.
- The system encourages open communication in the organisation. Communication between management and employees is enhanced, and more importantly, they derive outputs and plans of actions;

- Customers/clients' needs are addressed and there are greater and committed efforts to satisfy these needs. The organisation is responsive, through a regular feedback process, to the needs and aspirations of the customer. The organisation thus provides the required services, and it perceives what the customers want;

- Due to the fact that a performance management system is holistic, integrated and self-sustaining in design and approach it therefore facilitates the use of IT and other performance-improvement initiatives like re-engineering, restructuring, performance-related pay, WITS, etc. in the organisation;

- Performance management encourages and supports team building

and team work at every level of the organisation. Strategic objectives are achieved through committed and collective effort by all, and everyone becomes an important part of the whole process;

- The use of this system enhances the effective management of training and development in ministries through focused and specific training on identified needs emanating from strategic requirements;

- Through the PMS, any training and development initiatives will support and be related to the strategy;

- This system also gives public officers the opportunity to attain and use more effective tools, techniques and skills to improve performance and management generally; and

- Through the development of strategic goals and plans ministries are able to objectively justify their budget and funding requirements in any given period (DPSM 2002, p.7).

2.3.4.3 Problems of implementation

Somolekae (2005, p.78) observes that like any other reform programme, the performance management system has been seen by experts as yet another exotic strategy that does not conform to the culture and work ethics of the Botswana work force. These analysts are of the opinion that the performance management system should have some degree of conformity to the culture of the public service or more importantly that of the nation. Raditlhokwa (2006, p.13) supports Somolekae's views that some observers have questioned the effectiveness of the Botswana performance management system since its implementation in 1998 against the backdrop of a continued decline in the productivity levels in the

country. There is an outcry from the business community that on the contrary, the PMS has adversely affected public service delivery because government officials are always out attending PMS seminars and workshops, and leaving junior officials in charge who are either unsure of their role or just incompetent.

Mogalakwe (2004, p.34) explains that even if there is no official PMS evaluation report to date, there is evidence that the Performance Management System adopted by the government of Botswana in 1998, is not without problems. Critics have always been concerned with the implementation of this initiative, noting that top government officials are likely to sabotage the initiative, because they are either too scared or not ready to change their management styles. How then is it possible to for them to spearhead the initiatives?

Mpabanga (2003, p.78) concurs with Mogalakwe that fear of change by top public service officials has led to the ineffectiveness of the PMS to date. Mpabanga (2003, p.78) emphasizes the need to review the PMS stating that the process has been running for rather a long time without being evaluated and he cautions the government of Botswana will continue spending millions of pulas on an ineffective endeavour. Mpabanga reiterates that the government should take a clearer stand on ensuring that the PMS becomes a success given the money spent on the exercise. On the contrary, during the ongoing parliament debate on the budget speech, the Minister of Education Mr Nkate informed the House that his Ministry will be sending 80 Ministry employees to the United States of America to be trained in Change Agent Training and Leadership Strategies (CATALYST) to the tune of pula 41.6 million. The Minister met a great resistance from his fellow legislators and cabinet ministers noting that the time has come for the government to reconsider its position when sponsoring non-viable initiatives like performance management systems.

According to the Business Economic Advisory Council (BEAC 2003, p.91) report, since the adoption of PMS in the public service, the government has spent over pula 956 million on performance management systems, an exercise which has not yielded much in the way of results. The BEAC further recommends comprehensive transformation of the Botswana public service. At the outset, the BEAC (2003, p.92) states the belief that the civil service should be used as a vehicle for job creation should be abandoned; instead the lethargic civil service needed strict standards of discipline, behaviour, attitudes, as well as dress and uniform standards. The BEAC recommends the pay for performance principle at all but the lowest levels. The government was further urged to benchmark its remuneration packages against the private sector norms while at the same time setting performance criteria. The report further states that in the new look civil services, high performers would be rewarded through bonuses, while underperformers would be identified and eliminated.

It is clear from the above recommendation that the performance management system is not a success story as people may think. The business communities through the BEAC view the PMS as a non-starter, in which resources (money and time) have been spent with little or no improvement in the public service performance.

In his research titled, Performance Management Strategies Used by the Botswana Public Service, Tshukudu (2006, p.174) recommends eight performance management strategies to be used by the Botswana public service, namely: re-visiting business plans and objectives, establishing key performance areas, defining performance expectation, establishing performance measures, planning to facilitate performance, monitoring performance, appraising performance, providing feedback, improving performance and recognising and rewarding good performance.

Tshukudu (2006, p.174) identifies in addition to the ten performance management strategies, four critical factors to be taken into consideration for performance management to be effective: establishing a performance culture, developing performance leadership, creating a learning organisation and aligning individual, team and organisational goals.

The empirical study was done by means of a survey with a questionnaire as a data-gathering instrument. The empirical study revealed that most respondents felt that the first four strategies were adequately addressed. These strategies are: revisiting strategic business plans and objectives, establishing performance areas, defining performance expectation, and defining performance measures. However, though the majority of respondents felt that performance measures were adequately addressed, a large number of respondents did not agree (Tshukudu 2006, p.174).

The results indicated that strategies five, (facilitate performance), six (monitor performance), seven (appraising performance), eight (providing feedback), nine (improve performance) and ten (recognise and reward performance) were not adequately applied in the Botswana public service. It is indicated that the assumption could be made that in general, employees knew what they had to do, but that the individual management of performance was lacking. It could be concluded these areas needed attention (Tshukudu 2006, p.174).

In terms of critical organisational factors for effective performance management, responses to culture, leadership and alignment of individual, team, and organisational goals were more positive than negative. However, the respondents were not positive enough to convince one that the organisation did in fact have a culture of performance and leadership that encouraged performance, or that individual, team and organisational

goals were aligned. Respondents indicated that they did not believe that their ministries and departments were learning organisations. In the literature review, it was revealed that perhaps factors that could guarantee future effective organisational performance management is the one that takes into consideration strategies and critical organisational factors (Tshukudu 2006, p.175).

2.3.4.4 Recommendations to managers and supervisors

On the basis of the analysis of the data obtained in the empirical study conducted by Tshukudu (2006, p.178) the following recommendations regarding the effective implementation of performance management in the Botswana public service are made:

Firstly, managers and supervisors should continuously appraise employee performance as indicated in the literature review. Managers and supervisors should give their employees direction for future performance, based on the results of their performance appraisal. Employees want to know what direction they should take to improve; therefore the results of appraisal influence decisions about strategic organisational goals.

Secondly, managers and supervisors should facilitate employee performance. It is critical for managers and supervisors to assist employees with the necessary resources as a way of facilitating employee performance. This also implies an open relationship between managers and employees so that managers can become aware of the problems employees experience.

Thirdly, managers and supervisors should monitor employee performance to ensure the effective implementation of performance management. If performance is not monitored, it would be difficult for managers to

determine the success of performance management initiatives. Performance appraisal should be based on clearly defined goals and clearly defined performance measures.

Fourthly, monitoring of performance leads to providing employees with performance feedback. Managers and supervisors should provide employees with immediate performance feedback.
Fifthly, it is the responsibility of managers/supervisors to improve employee performance through facilitation, appraising performance and providing performance feedback to their employees.

Finally, performance rewards should be implemented to act as a strong motivator. The Botswana public service should ensure that budgetary provision is made for rewards. If money is to act as a strong motivator, then employees must believe that the reward is real and that better performance will be followed by monetary and other rewards. The research revealed that many types of rewards other than monetary rewards could be used to improve performance (Tshukudu 2006, p.178).

2.3.4.5 Recommendations to human resources management

Tshukudu (2006, p.178) maintains that for a performance management system to be effective, human resources managers should take cognisance of the following recommendations.

Firstly, for any performance management system to be successful, it should be well-developed and implemented in an organisation.

Secondly, managers should be well trained in the pursuit of performance management and the implementation thereof. Performance management

should not be done in a mechanistic manner, but should be understood as an essential, tool in achieving the vision and mission of the organisation.

Thirdly, performance management does not take place in a vacuum. It is therefore essential that the organisational culture be analysed to see in which aspects it fosters or hinders effective performance. The organisational culture should be crafted and re-inforced to create a high performance environment. Specific attention should be given to leadership, learning and the alignment of individual, team and organisational goals.

Performance management is aimed at obtaining better results from individuals, teams and the organisation by understanding and managing performance within the agreed framework of planned goals, standards and competencies. However, there are other critical oganisational factors that have to be taken into consideration for performance management to be effective. These are to create a performance culture, develop performance leadership, create a learning organisation and align individuals, teams and organisation's goals with the strategic overall organisational goals.

Performance management strategies can be used to improve performance, provide feedback, and increase motivation, identify potential, to let individuals know what is expected of them, to focus on employee development and to recognise and reward good performance. Tshukudu (2006, p.179) emphasises that the Botswana pubic service reshapes itself to cope with the turbulent competitive conditions of doing business (service delivery) by becoming leaner, fitter, and losing its belly. Many of the formal techniques of human resources management strategies need to be changed or adapted to motivate and develop people appropriately.

Tshukudu (2006, p.180) notes that performance management systems should be built on the premise that the vast majority of people come to work to do their best for themselves and for the organisation. Management's role is to support them, help them understand what their best has to be, and how they can develop themselves as individuals.

Performance management strategies used in isolation cannot improve performance or productivity. However, once deficiencies or inadequacies are identified and rectified within the current performance management strategies, then the effective implementation of performance management can take place (Tshukudu 2006, p.180).

It can therefore be concluded that in the nine years since its inception, Botswana performance management has not enhanced public service performance. The reasons for this may be attributed to many factors which include amongst others senior managers' commitment to the initiatives and their ability to spearhead the endeavour. Organisational cultures also have to be conducive for change to occur because employees' beliefs and values are embedded in the very culture. Unless culture is accommodative of initiatives such as performance improvement strategies it would be difficult for such initiatives to be successful. There is much room for improvement of the performance management system used in the Botswana public service and the internal organisational environment should be shaped in such a way that it emphasizes high performance. Shortly after the introduction of PMS, the government embarked on a performance-based reward system with a view to reward good performers.

2.3.5 Performance-based reward system

It is the policy of the government of Botswana to continuously improve the effectiveness of its organisations and people so as to realise the National Development Plans and National Vision. The intention of the policy framework is to provide an objective approach for improving and rewarding employee performance in a manner that will facilitate the improvement of the organisational overall performance. To that end, the performance based reward system provides a process that allows a linkage between the Performance Management System and individual accountability through the development of performance objectives and employee performance reviews in a manner that will encourage continuous improvement (DPSM 2001, p.74).

In this section, PBRS will be discussed, more specifically its objectives at individual, supervisor and organisational levels. Also the discussion will cover the evaluation outcome of the initiative.

2.3.5.1 Performance-based reward system objectives for employee

Employee performance remains one of the critical factors in determining the competitiveness of the company. It is therefore apparent, that employees' performance should be rewarded in order to create a positive behavioural pattern amongst employees. Creating performance culture by rewarding good performance remains the most highly recommended performance management strategy in the modern human resources management. The objectives of the performance-based reward system include amongst others the following:

- Rewards that reflect performance results (non-monetary);

- Career support and guidance;
- Clarity of work expectations;
- Coaching to solve work problems and develop talents;
- Support for new ideas;
- Empowered to make work and training decisions with the supervisor;
- Opportunities to improve the work environment; and
- Honest and objective performance feedback (DPSM 2004, p.56).

2.3.5.2 Performance-based reward system objectives for the supervisor

Supervisors are individual employees and form the lower management level in the organisational structure. Being part of management, supervisors are faced with the responsibility of motivating their subordinates and most importantly, to mentor their subordinates in the workplace. It is therefore important for supervisors to reward their subordinates for a job well done. Performance objectives for supervisors include the following:

- Opportunity to motivate employees;
- Better utilisation of scarce resources;
- Opportunity to promote the vision of the organisation
- Opportunity to build capacity;
- Increased employee accountability;
- Clear supervisory responsibilities and accountabilities;
- Opportunity for team building; and
- Providing for employee retention (DPSM 2005, p.78).

2.3.5.3 Performance- based reward system objectives for the organisation

Organisations stand to benefit from rewarding their employees. When individual employees are rewarded according their performance standards they take ownership of their work and become motivated in performing to their optimal level. This:

- Enhances the accountability framework and improves alignment of objectives;
- Provides meaningful performance-based reports;
- Enhances communication channels;
- Provides for the effective allocation of resources;
- Provides for the efficient delivery of services; and
- Establishes a performance-improvement mindset.

2.3.5.4 The evaluation of a performance-based reward system

Even though there is little literature on the PBRS, and that the strategy has not been formally evaluated since its adoption in the Botswana public service, it was clear during a Public Convention held on the 29th to 31st August 2005 that the majority of ministries and departments were faced with difficulties in implementing the PBRS.

The majority of presenters at the convention highlighted the fact that the PBRS was adopted and implemented by the government prematurely. The presenters' arguments were premised on the fact that hardly two years after the adoption of the Performance Management System, the government immediately launched its PBRS. As indicated under section (2.6.4), the PMS was not without problems. The majority of the problems highlighted related to the implementation of the PBRS in the public service

and that even to date some of these problems are prevalent. These include amongst others; a lack of interest by middle management, an unco-ordinated implementation process and lack of interest by permanent secretaries in ensuring that their ministries and departments fully complied with the government's Vision 2016 which strives for "A prosperous, productive and innovative nation" by the year 2016. Various presenters reiterated that, as regards the viability of implementing PBRS, the bottom line is that many of their subordinates are still struggling with implementing performance management, particularly at lower levels of their respective ministries and departments. It was resolved at this convention that the government should revisit the implementation of PBRS, with the majority recommending that the process be postponed indefinitely until PMS is fully implemented and evaluated. They argued that the current setup is confusing and a lack of credibility on the part of government has been a major contributing factor thus far (DPSM 2004, p.34).

Responding to queries raised by the ministries and department representatives at the convention. The Minister for Presidential Affairs and Public Administration Mr Phandu Skelemani, agreed fully with the concerns raised during the convention. He noted that, it was important for government to tirelessly liaise with all stakeholders prior to the implementation of such strategies as PBRS. The Minister however added that poor service delivery in the public service sector has been a major concern and that some of the government's decisions on adopting and implementation of reform measures were premature, due to the rampant corruption and underperformance of public servants (DPSM 2004, p.35).

From the above discussion, it is clear that the performance-based reward system has not yielded the expected results. This can be attributed to the failure on the part of government to plan and most importantly the indigenisation of foreign interventions such as PBRS. There is a tendency

for government to adopt and implement policies and strategies as they think without proper investigation as to whether such policies will be applicable to the Botswana context. It is evident that the PBRS in its current state cannot enhance or even improve public service performance. In the next section, the decentralisation process will be discussed highlighting how the process impacts on service delivery and challenges, and its evaluation and recommendations.

2.3.6 Decentralisation in the Botswana public service

In this section decentralisation in general terms will be discussed and the focus will be narrowed to how decentralisation has improved public service delivery in the public service sector. The evaluation of the process will be highlighted and closing remarks will be made.

2.3.6.1 Background

According to Cheema and Rondenelli (1983, p.137), decentralisation is the transfer or delegation of the legal and political authority to plan, make decisions and manage public functions from the central government and its agencies to field organisation of those agencies, subordinate units of government, semi-autonomous public corporations or regional development authorities, autonomous local governments, or non-governmental organisations.

A system of democratic decentralisaion has to be so organised that the relations between central and local government reflect a balance between centralisation and decentralisation of authority and functions. Cheema and Rondella (1983, p.139) note that while the central government has to delegate some of its authority, and encourage autonomy of local

authorities, it has to continue to retain some responsibilities relating to control, direction, supervision and guidance, particularly during the infant stage of development of local authorities.

Central government has to retain the function which local government may not be able to undertake due to the magnitude of resources or expertise required. It may have to provide the local government with financial and manpower resources and technical assistance of different kinds without which these bodies may not be able to perform their functions. It may have to direct these bodies on the nationally defined priorities for the utilisation of scarce resources. Some central controls may be required for maintaining nationally accepted standards of performance and integrity and for the sound management of finances. Over and above all, central controls have a role in developing administrative capacities of local institutions through various measures which could include training, manpower development and gradually increasing autonomy (Cheema & Rondenelli 1983, p.138).

Democracy, decentralisation, public participation and accountability have been considered to be objectives of good governance in Botswana. Decetralisation is a key factor in realising the Botswana national principles of self-reliance, unity, development and democracy, which have guided the country's social, economic and political development since independence in 1966. In 1997, Botswana adopted a Long Term Vision for Botswana (Vision 2016) with the theme "Towards Prosperity for all". The vision 2016 ideals include "building an open, democratic and accountable nation". Decentralisation may contribute significantly to attaining this ideal. Efforts to strengthen democracy and good governance in the country have to be complemented by invigorating the institutions as well as the decentralisation process (BIDPA Report 2003, p.8).

Mogalakwe (2004, p.56) states that the role of government is to serve as an instrument of democratic decentralisation, development and good governance. He adds that throughout Africa, moves are being made to give more power to the people at grass roots level. The government decentralises for its geographical, social, political, economic and administrative advantages and creates organisations of local government and administration. Mogalakwe (2004, p.56) points out that certain geographical features such as the size and underdeveloped communication and infrastructure facilities in the country create the need for decentralisation.

Decentralisaion could also facilitate the administration of societies with cultural and social heterogeneity and it could promote national unity by accommodating the demand from diverse groups for political participation and limited self-government. Mogalakwe (2004, p.60) observes that by resorting to decentralisation, the national development plan could come closer to the felt needs, problems and priorities of the people. Administrative decentralisation could reduce the concentration of authority in the central government, promote decongestion of activities from the centre to the periphery. It could relieve the central government bureaucracy of involvement in purely local issues, check excessive and straight-jacketed central directives, reduce delays, and introduce speed in decision making.

2.3.6.2 Botswana's accomplishment and progress towards decentralised governance

Botswana established a democratic political framework after independence and developed local government structures below the central government level. A number of features stand out in Botswana's

experience with decentralisaion. The country has run its administration under a democratic political framework since independence. Although Botswana has produced a holistic, overarching, cross-sectoral decentralisation policy statement, several initiatives have been undertaken by the government to decentralise functions and authority. The government has also established the enabling conditions (policies and practices) from 1964 onward that promote decentralisation. In 1964, two years prior to independence, a government white paper expressed the government's commitment to decentralisation through the elected rural urban councils. Various presidential commissions such as O & M review; consultancy reports and interministerial committees have examined the question of decentralisation and recommended reforms. As a result the government has undertaken decentralisation of administration, personnel and finances for both local government and within the central government itself.

2.3.6.3 Administrative decentralisation to district administration

The office of the District Commissioner has operated as a representative of central government in the district from the pre-independence days. It was strengthened with additional and primary responsibility for the co-ordination of rural development and decentralised district level development planning. In addition to the above organisations of administrative decentralisation, the country has established a development planning machinery at district level and six development plans have been formulated so far against nine national development plans. Procedures for the formulation, implementation and monitoring of district plans are in place and are being constantly improved.

2.3.6.4 Challenges in promoting decentralisation

In spite of the above positive attributes, the country faces difficult constraints and challenges in enhancing the effectiveness of decentralisation in the institutions of local government. These constraints and challenges relate to the limitations of human and financial resources, public participation and central-local government co-ordination in development planning and management.

Shortage of qualified staff is a major constraint on local government. There is widespread concern about the continuing shortage of qualified staff in district and local level organisations and the quality of training available to them. The government asumes the responsibility for human resources development in the country and efforts have been made by strengthening educational and training programmes. There has been a large expansion in the capacity of primary, secondary and tertiary institutions. Pre-service and in-service training programmes have been introduced and/or strengthened. More concentrated efforts are however needed for human resources development in district and local government level organisations.

Mogalakwe (2004, p.47) notes that besides the need for strengthening education and training, local authorities require a personnel management system and service conditions that can attract, retain and motivate staff of good calibre. Local authorities continue to lose qualified staff to competitors in the labour market. Innovative measures could help in retaining deserving staff and in keeping them motivated. Mogalakwe further adds that the decentralisation of the human resources function has been problematic, especially when it comes to council employees. People are unwilling to work in rural areas and councils lack attractive benefits to lure them to be transferred to rural areas. More specifically, people with

skills are attracted to work for the private sector in urban areas. The shortage of qualified and skilled staff thus accounts for poor service delivery by the councils.

In some districts, especially in the central, where there has been considerable decentralisation to the sub-districts, decentralisation of responsibilities was not matched with the provision of necessary staff and capacities. Skilled personnel were retained at the centre, leaving the sub-districts with inexperienced and poorly qualified staff, and yet that is where services are provided. The headquarters retains most of the skilled and yet there is minimal actual work (Mogalakwe 2004, p.123).

The introduction of the Performance Management System (PMS) is one of the major decentralisation initiatives introduced by the government. District officers had little to say about the PMS, which is only now (2006) being introduced to local authority councils, although the PMS was initiated in 1997 in the central government. There are no substantive comments from districts on whether it had an impact on councils' service delivery. But one of the views held by lower and middle managers in the local government are that the performance management system is impractical, given that it aimed at changing work practices but not the officials' attitudes. Negative work attitudes were at the root of inefficiency and ineffectiveness (DPSM 1998, p. 92).

The work environment is also such that planning may be done, but implementation tends to be problematic because of constant diversions and 'emergencies" that officials had to attend to. Other key informant views are that even though the PMS is supposed to encourage decentralisation, it is not backed by the decentralisation of decision making to lower and middle management levels (e.g. in career progression and performance rewarding of subordinates). The central

government still exercises considerable control over human resource functions and rewarding systems and by so doing defeats the goals of the PMS.

Against the backdrop of the continued decline in performance of the local government, the government assigned the Botswana Institute for Development Policy Analysis (BIDPA) to assess the decentralisation of performance improvement initiatives at local government level. The Botswana Institute for Development Policy Analysis (BIDPA) was commissioned by the United Nations Development Programme (UNDP) to undertake a review of the decentralisation initiatives in Botswana (Project BOT/02/M03/A/MX). This report deals with component number four of the project, which is the assessment of the impact of the decentralisation initiatives on the intended beneficiaries. As the decentralized organisations are at the forefront of the implementation of decentralisation initiatives, the major thrust of the research was to assess the effectiveness of these organisations in service provision (BIDPA Report 4 2003, p.5).

2.3.6.5 Evaluation of the decentralisation in Botswana

The report based on a questionnaire that was randomly administered to about a thousand people across the country, also draws on key informant interviews of public officers at district and central government levels. The aim of the questionnaire was to determine the people's perceptions of the effectiveness of government's decentralisation initiatives, through local authority provision of services. The key informant interviews were designed to seek perceptions and views about service provision, from officers that are involved in the provision of services in the rural areas.

This project thus aimed at examining the effects of decentralisation service provision on the intended beneficiaries. The beneficiaries are ordinary people or members of the communities whose perceptions on the effectiveness of the government's decentralisation initiatives were sought. The intention was to determine the respondents' perceptions of whether any improvement to their wellbeing could be attributed to decentralisation, especially in regard to access to service, and their efficient and effective provision. The next section summarises the responses of the key informants to questions regarding the objectives, design and strategy of decentralisation; implementation of decentralisation initiatives; the effectiveness of decentralised service provision and the future direction of decentralisation in Botswana (DPSM 2004, p.89).

The objectives and the strategies for achieving decentralisation are not clearly defined or specified. Despite an enabling democratic political tradition, and several decentralisation initiatives, Botswana does not have a holistic, overarching, cross-sectoral decentralisation policy statement. It is unclear what decentralisation is supposed to achieve, its direction, targets and goals. Hence the decentralisation process appears to ad hoc, unintegrated and unco-ordinated.

Decentralisation by the central government to lower levels appears illusive. Some of the functions that are ostensibly decentralised to the local authorities are actually not, or are only partially so. These include financial management, human resources management, and management of information technology services.

Views on the attainment and effectiveness of the decentralisation process are doubtful even though the process is regarded as important for improving productivity, efficiency and the effectiveness of service delivery at local government level.

The reasons for this low attainment of decentralisation objectives differ significantly between district and central officers. Whereas the district officers emphasised that major constraints were centralised control and inadequate local resources and authority, central government respondents laid the blame on decentralisation organisations' capacity constraints and negative attitudes.

To most district level officers, the lack of localised revenue collection (and utilisation) in the council areas of jurisdiction appears to be the stumbling block towards an effective decentralisation process.

From the above discussion, it may be concluded that there is a general perception that for the benefits of decentralisation to be fully realised, the implementation process must be optimal. The objectives, and the strategy for implementation, must be clear. Also, the human and material resources must be available at local level. Importantly, managerial and technical capacity must be built for decentralisation. In addition, there must be regulatory mechanisms and safeguards against possible abuse of the system.

2.3.7 Training and development in the Botswana public service

Training and development is used by many organisations to enhance the performance of their employees. The availability of training and development opportunities is a motivating factor for employees in the organisation. Most importantly the objective of training and development in the public service context is aimed at improving products and the service delivery to the citizens. Since independence the Botswana government has committed financial resources (billions of pula) on public service

training and development with a view to improving the overall efficiency and effectiveness of the public service at large. The need for training and development has been precipitated by technological developments and organisational changes and the realization that success relies on the skills and abilities of the employees. However, this performance improvement initiative has not yielded results for the following reasons; lack of training and development policy and non-evaluation of training initiatives (Somolekae 2005, 164).

2.3.7.1 An overview of training and development in the Botswana public service

The current situation concerning training and development in the Botswana public service was covered under section (section 1.2) of the research. However, it is important to highlight the current state of affairs in Botswana public service's training and development. It is therefore, meaningful to further explore reasons for training and development to enhance service delivery in the public service sector. Different scholars and stakeholders are concerned by lack of training evaluation and the justification thereof. Kgarebe (2004, p.16), Somolekae (2005, p.112) Raditlhokwa (2007, p.22) and Mogalakwe (2004, p.78) reiterate that there is a need for the Department of Public Service Management to account for training and development in the Botswana public service. The authors lament that in-service training should be well co-ordinated and evaluated by DPSM as the custodian of training in the public service for both local and external training.

Non- Governmental Organisations which provides financial assistance to candidates from the public service have been calling for the formulation of a training policy by the Botswana public service as guidelines for the management of training in the country.

2.3.7.2 Training policy

Government policies are guidelines that are intended to give the public service direction when implementing various strategies, procedures and programmes. Having no policy is not only tragic but also detrimental to good governance and accountability. As indicated earlier, the government of Botswana has invested resources in training and development. It is therefore ironical that since independence, the Botswana public service has not formulated training and development policies when this very government is continuing to train and develop employees locally and internationally (Mpabanga 1998, p.94).

Mpabanga (1998, p.99) explains that the importance of a training and development policy has been to state government intentions on, and provide guidelines for, the efficient and effective training and utilisation of human resources in order to achieve optimum individual and organisational performance in the public service.

The objectives of government in pursuing training and development for the public service personnel are defined in the civil service legislation act or in specific regulations or in a training policy; in some cases the objectives are fixed in the constitution. Though these objectives differ from country to country in content and correctness, one common goal of public service training can be observed throughout, and that is to support the implementation of administrative reform and modernization. Other operational objectives that are specific objectives of training and development policy are:

- Ensure that training is relevant, systematic, co-ordinated and, most importantly, evaluated in order to meet the needs of the public service;

- Increase efficiency in executing the tasks to reduce costs;
- Improve staff motivation;
- Improve human resources management (equal treatment of men and women, etc.);
- Improve the relationship between the public service and the user and improving the services provided to the public;
- Support staff development;
- Ensure the efficient and effective utilisation of trained personnel in the public service; and
- Ensure that there is transparency in the selection process (DPSM 2005, p. 89).

The importance of a training and development policy is that the policy should not only reflect the procedure and guidelines but should explicitly indicate how training and development should be evaluated, and the techniques for such evaluation must be clearly stated. As stated earlier, the main objective of training and development is to enhance public service and the overall organisational performance.

Chepkilot (2005, p.345) adds that training and development are powerful tools for the development of employees in an organisation. Probably the most effective type of training in preparing employees to take increasing levels of responsibility, will take place in a planned on-the-job programme in which areas of responsibility for specific tasks are handed over. In this way the public service can ensure training for succession takes place over a period of time. Unfortunately due to lack of any training policy, very little pressure is put on managers or supervisors to ensure that they concentrate on the training and development of subordinates. Many public service training managers do not have the skills to provide on-the-job training or its evaluation.

2.4 FUTURE GOVERNMENT REFORM PROGRAMMES

The Botswana government continuously seeks to better performance improvement strategies to enhance service delivery in the public service sector. Future reforms will focus on the delivery of core government service and move away from commercial activities that can be performed more efficiently and effectively by the private sector. The government recognises that the private sector provides the basis for long-term, sustainable economic growth (Raditlhokwa 2006, p.90). The government therefore, intends to accelerate the public service reduction programme. These include amongst others reducing the public service through retrenchment of public service sector employees, particularly those who have reached retirement age. The government also intends to introduce performance contracts for top managers in the public service as a means of closely monitoring its senior public service employees; and lastly the introduction of Total Quality Management (Raditlhokwa 2006, p.99).

2.4.1 Downsising of the public service

Much has been said and done in an endeavour to address Botswana's public service delivery paralysis. Firstly, the Botswana National Productivity Centre was established in 1993. A plethora of productivity enhancement initiatives have been introduced in the public service. These include privatisation, WITS, PMS, PBRS, and decentralisation. These performance improvement initiatives have not yielded any results to meet the expectations of many Batswana and other stakeholders.

Public service delivery remains the one of the biggest challenges that government has had to deal with in recent times. In his budget speech for the financial year 2007/2008, the Minister of Finance and Development Planning, Mr Balidze Gaolathe informed the nation that his government is

committed to revitalising service delivery and productivity improvement in the Botswana public service. He further observed that for the past decade, the government has adopted various strategies to deal with the low levels of productivity in the public service. The Minister stated that it is about time the public service sector was reduced to make it leaner and more efficient. He further noted that it is important to harmonise pay and benefits and put in place interventions to enhance the efficiency of the public service. Gaolatlhe (2007, p.46) further observed that the government is currently in a difficult situation because on the one hand, the salaries of the public sector employees are low and on the other the wage bill is high. He however, indicated that his government is committed to accelerating the public service reforms to create a leaner, efficient, motivated and productive public service.

For the umpteenth time, the BEAC report observed that the Botswana civil service is too fat and drastic measures need to be taken to keep it lean. It is still not fit and mentally ready to self-transform. Raditlhokwa (2007, p.35) explains that Botswana is far from achieving satisfactory levels of improved service delivery. Raditlhokwa (2007, p.35) asserts that reasons for the public service's failure are that the professionals tasked with the mandate to change in public service transformation lack any clear focus, a sense of urgency, and sufficient authority to actualise their mandate. Secondly, these professionals lack the capacity to adapt foreign ideas to the local context. Raditlhokwa attributes poor performance to socialization at family level. Raditlhokwa (2007, p.35) believes that unless a massive cultural revolution, even with plenteous resources, is implemented, public service performance will remain a nightmare.

2.4.2 Introduction of performance contracts for senior managers

The number one problem thwarting progress in Botswana is the failure of leadership. There are no outstanding credible managers who are capable of inspiring the nation to surpass itself (Raditlhokwa 2007, p.56). Raditlhokwa laments that managers are not sufficiently developed to understand and produce the requisite conditions of change, transformation and superior development. Many of these managers are self-serving and are therefore, not fully committed to serving the country and its people.

As previously stated, the continued decline in public service has been a major concern to the government and civil society. There are observations that the need for managers to take their rightful place in improving service delivery in the public service sector is long overdue. The decline in productivity levels forced the government to introduce performance contracts for senior and middle management to account for both their individual performance and that of their employees. Accountability on the part of managers has been lacking in recent times and the government has acknowledged the importance of rigorously dealing with the underperforming senior and middle public service managers (DPSM 2005, p.11).

2.4.3 Introduction of Total Quality Management

The search for sustained competitive advantage in the public service has focused to a large degree on product and quality service delivery. More recently in the developing countries, Total Quality Management (TQM) has become a focus in manufacturing and service industries including public service sector product and service delivery. The drive for quality improvement has become a nationally recognised goal (Lejuta 2007, p.22). Total Quality Management focuses on quality and continuous improvement which are essential elements for productivity and an integral

part of the organisational strategy. One of the recommendations made by BEAC to the government is the introduction of TQM as a quality improvement strategy. The commission notes that it is important for the government to review the quality of products and services rendered for Botswana to compete both regionally and globally. It is on the basis of the quality improvement that the government of Botswana has resolved to introduce TQM as a quality improvement strategy in the public service sector.

2.5 CONCLUSION

The government is concerned about enhancing performance both at central and local government. The continuous decline in productivity levels prompted the government to come up with strategies for improving service delivery in the public service sector. As part of its effort to increase productivity, the government established the Botswana National Productivity Centre (BNPC), which organises productivity improvement and management programmes, conferences, and workshops for public servants from central and local government. Most of the observers have criticised the centre for failing to deliver on its main objectives particularly on behavioural changes of public service managers.

Privatisation is one of the initiatives that the government has adopted with the view to enhance productivity in the public service. However, the initiative proves to be problematic even though the government was under no duress to adopt and implement privatisation in Botswana. According to the recent report on evaluation of WITS, the initiative lacks have been unable to deliver the expected results on raising performance levels in departments and ministries across the public service sector and in parastatals. Even though there is not much literature on the Botswana performance management system, there is evidence to indicate that much

has not been achieved through the process. Hence it has become an expensive endeavour for government as regards both money and time.

Many see the PMS as an exotic exercise that does not fit into the Botswana public service work culture. Therefore, it has become an excuse for many to be away from their work stations to attend seminars and conferences on PMS. It is impossible to reward unmanaged employee performance. If PMS has been a non-starter, it will be difficult to embrace the next initiative, which is a Performance-Based Reward System. Commentators are of the opinion that a Performance-Based Reward System has been prematurely introduced in the public service while most of the departments and ministry officials are still battling with the implementation of the former.

The final initiative aimed at was decentralisation of authority to local government structure. This has been problematic, in that there is a lack of qualified staff that are prepared to work in rural areas, and local government resource strategies have failed to cater for the attraction and retention of skilled personnel due to under-funding.

The next chapter will provide a comprehensive literature review on the subject of training and development. The concept of training and development, learning organisation and various theoretical models will be discussed. The strategies for effective training and development in an organisation will be highlighted and discussed. This chapter will also focus on the relationship between training and performance management and performance appraisal.

CHAPTER 3

CONCEPTUAL FRAMEWORK FOR TRAINING AND DEVELOPMENT

3.1 INTRODUCTION

In chapter two, the historical background of the public service and government reform programmes was discussed as well as the organisation in which the study was conducted. Different performance improvement initiatives (reforms) introduced by the Botswana government since independence in 1966 to improve productivity levels were also discussed. These include the Botswana National Productivity Centre, privatisation, Work Improvement Teams, the Performance Management System, a Performance-based reward system, and the decentralization of authority to local government. These were adequately covered in chapter two. The main thrust of the discussion was premised on how these initiatives have improved service delivery in the public service sector to date.

This chapter defines and discusses the concept of training, development and learning, the objectives of training, a systematic approach to training and development, critical organisational factors such as culture, leadership and performance management and performance appraisal as part of the training process. This chapter will also cover a discussion on various theoretical training models which scholars and training managers have formulated to explain their understanding of the concepts of training and development. Most importantly, the chapter will conclude with a discussion on the implementation and management of a learning organisation.

As training often occurs in a haphazard manner, thereby reducing its effectiveness of the activity, it is imperative that any training undertaken should be well planned, structured and directed towards a real need. Provision must also be made to ensure that transferability of new skills into the work environment takes place.

Different authors define training and development differently and in the next section, definitions of training will be presented and a working definition for this research will be presented.

3.2 DEFINING TRAINING AND DEVELOPMENT

The skills challenges facing business include international competition from companies that have highly skilled employees, the need to increase productivity, the need to improve performance and service quality, a skills shortage, the need for skilled employees, poor quality education and training, the need to develop affirmative action candidates and the need to increase diversity. Those companies that are able to meet the challenges well and become responsive will gain competitive advantages over those that struggle or fail to meet the challenges. For a company to meet these challenges, skills development must be fully aligned to business strategies and objectives, as well as to employee performance levels. From the employee's point of view, the only valid objectives of skills development are competencies and performance management.

Schultz (1997, p.10) states that the training function is positioned in various ways in different organisations, although the responsibility for training management is almost always perceived as belonging to the human resources function and the growing devolution of responsibility to line management has resulted in perceptual changes, promoting the

conceptual format of the learning organisation.

Folscher (2003, p.12) states that in the past, training has been demand-led and most skills development has been conducted without the realistic assessment of how skills are employed. Often training achievement is measured by the number of days employees spend on training and the amount of money the company spends on training and development. Training departments/functions were more concerned with their activities than the value they are adding to the company, or the impact they made in their organisations.

Folscher (2003, p.12) further explains that departments were trapped in the so-called 'activity trap', and neither training managers nor training providers were held accountable for training and development outcomes. The focus must now shift to the skills and competencies required to support productivity, international competitiveness, the mobility of workers, self-employment and meeting the desired and articulated community needs. Schultz (1997, p.20) concurs with Folscher (2003, p.12) by stating that organisations are challenged to develop, maintain, update and fully apply skills in order to survive. Schultz (1997, p.20) maintains that, instead of being concerned with only the skills level of employees, the application of skills and the management of performance have become more important in the work environment.

Measuring the impact rather than the activities of a training department means that there is a need to transform organisational approaches towards performance improvement both at individual, team and organisational levels. Shultz (1997, p.21) further notes that training expenditure should be viewed as investments improve productivity, rather than as expenses or costs of doing business. For the training function to be accepted as a strategic organisational investment it is essential that the

return on investment is worthwhile. Schultz (1997, p.23) advocates the use of improved training and development strategies so that the value, in monetary terms, of training to the organisation is increased.

3.2.1 Definitions of training, learning, education, and development

Before examining how training is initiated and then organised, it is useful to define training and to distinguish it from the closely related concepts of learning, education and development. Drawing from a number of sources, the following definitions will be used as working definitions in this study.

3.2.1.1 Training

Burcley and Caple (2000, p.1) define training as a systematic effort to modify or develop knowledge, skills, abilities, and attitudes through the learning experience, to achieve effective performance in an activity or range of activities. Goldstein and Ford (2001, p.1) add that training is the systematic acquisition of skills, rules, concepts, or attitudes that result in an improved performance.

Armstrong (2003, p.527) concurs with other authors in defining training as a planned and systematic modification of behaviour through the learning event, programme and instruction which enable individuals to achieve the levels of knowledge, skill and competencies needed to carry out their work effectively.

Sims (1993, p.2) summarises the above definitions by defining training as a systematic planned approach to teaching knowledge, skills, abilities, and attitudes, with certain features. Furthermore, training is a process of changing behaviour and motivation to improve the match between employee characteristics and the demands of a job. The process consists

of planned programmes designed to improve competence and performance at the individual employee, group, and organisational levels. Improved competence and performance, in turn, imply that there have been measurable changes in knowledge, skill, abilities, attitudes, behaviour.

3.2.1.2 Learning

Davis and Davis (1998, p.11) define learning as a process by which an individual, group and organisation obtains information and uses new knowledge, tools, behaviours, and values. Individuals learn as part of their daily activities, particularly as they interact with each other and with the outside world. Groups learn as their members co-operate to accomplish common goals. The entire system learns as it obtains feedback from the environment and anticipates further changes. At all levels, newly learned knowledge is translated into new goals, procedures, expectations, role structures, and measurements of success. Davis and Davis (1998, p.12) and Armstrong (2003, p.526) add that learning is a relatively permanent change in behaviour that occurs as a result of practice or experience.

3.2.1.3 Education

Armstrong (2003, p.526) defines education as the development of the knowledge, values and understanding required in all aspects of life rather than the knowledge and skills relating to particular areas of activity. Mayo (2004, p.16) states that education involves reframing, refining or developing the mind and also can affect people's attitudes and values.

3.2.1.4 Development

Managers and supervisors and the organisation at large are faced with the mammoth task of developing employees. Helping employees develop is the greatest contribution managers and supervisors can make to the wellbeing of their subordinates. Developing employees should be taken seriously as this leads to increased organisational productivity, efficiency, effectiveness and all-round job satisfaction.

Armstrong (2003, p.526) and Marchington and Wikilnson (2000, p.158) define development as the growth or realisation of a person's ability and potential through the provision of learning and educational experiences. The authors view development as a broader term than learning, in terms of its complexity and elaboration, as well as its continuity, but nevertheless others see it as rooted in the individual. Many organisations are facing the challenge of developing greater confidence, initiative, solution-finding, and problem-solving capabilities among their people. Organisations need staff at all levels to be more self-sufficient, resourceful, creative and autonomous. Employees' efforts produce better results and many organisations are striving to achieve improved performance through employees' contributions. This behaviour enables employees to operate at a higher strategic level, which results in increased organisational productivity and competitiveness.

3.2.1.5 Training and development

All managers and supervisors should provide training and development for their people. Training develops people, it improves performance, raises morale; training and developing people increases their health and organisational ability and raises the productivity levels of the organisation. Ethics and behaviour set the standard for people, which determines how

productively they will use their skills and knowledge. Training is nothing without the motivation to apply it effectively. A strong capability to plan and manage skills training, the acquisition of knowledge, and the development of motivation and right attitudes, largely determines how well people will perform in their jobs.

3.3 OBJECTIVES OF TRAINING

The objectives of training both in the public and private sector are aimed at addressing training needs of the individual employee, the team and those in the organisation (DPSA 2006, p.12).

3.3.1 Definition of objective

According to the Merriam Webster on-linedictionary, objective is "something toward which effort is directed or a strategic position to be attained or a purpose to be achieved by an individual, team or an organisational operation". Armstrong (2003, p. 550) notes that the objective of training and development in an organisation is to achieve its human resources strategies by ensuring that it has the skilled, knowledgeable and competent people required to meet its present and future needs.

Shandler (1996, p.54), identifies three main objectives of training in organisations, namely: competition, rapidly changing business trends and improving both individual and organisational performance.

3.3.2 Competition

The main focus for training is seen as a key to achieving empowerment for individuals and in maintaining the focus on the customer in order to remain

competitive. Not only is training the epicent of empowerment with as much as 10% of employees' time spent on it, but successful companies use training and development as a competitive strategy. Sloman (1999, p.9) emphasises that it is universally accepted that competition has become more intense. Two forces that have given rise to this growing intensity are an increasingly global economy underpinned by the information/telecommunications revolution. There is incontrovertible evidence that these forces have exerted a powerful influence on the competitive environment in which all large organisations operate. An important issue facing the training manager is to consider how the influence will be felt in the organisation (Sloman 1999, p.23).

3.3.3 Rapidly changing business trends

Sloman (1999, p.43) suggests that over and above the three main objectives, the specific training objectives include the following: training makes a significant and distinctive contribution to the development of an organisation's competitive strategy, based on enhancing the skills and capabilities of employees, and giving individuals in the organsiations appropriate opportunities to develop their own capability both in the short and long term. Borders and boundaries have collapsed and the general effect of globalisation is well known and that less attention has been to the given dramatic collapse of traditional business boundaries. This phenomenon forced managers to change their management approach to adapt to new business trends (Sloman 1999, p.43).

The objectives of governments, parastatals and private companies to pursue training and development for their employees are defined in the civil service legislation, civil service act or in specific regulations on training and development; in some cases the objectives of training and

development are fixed in the constitution of the country (DPSA 2006, p.13).

In the case of the private sector organisations, objectives are included in the company's training policy or any training guidelines. Though these objectives may differ from country to country in content and correctness, one common goal of the public service sector training can be observed throughout, and that is to support the implementation of administrative reform and modernisation (Bakwena 2004, p.90).

The government-wide objective of training is to develop government employees through the establishment and operation of progressive and efficient training programmes, thereby improving the public service, increasing efficiency and economy, building and retaining a work force of skilled and efficient employees, and installing and using the best modern practices and techniques in the conduct of government business (www.doi.gov./hrm). Operational objectives of training and development include the following:

- Adaptation of skills and qualifications to technological and other changes in the organisation to improve the performance of employees by helping them to adapt to changes in the work routine due to new technologies, new legislation, etc.;
- Increasing efficiency in executing the tasks to reduce costs;
- Promoting horizontal mobility by providing training to acquire the expertise necessary to fulfill a new task on the same hierarchical level to improve the flexibility and adaptability of employees;
- Improve motivation;
- Improve human resources management (equal treatment for both men and women etc.;
- Improving the relationship between the organisation and

customers;

- Improving the quality of products and services delivered to customers;
- Support staff development (career paths); and
- Developing international co-operation (www.doi.gov/hrm).

3.3.4 Improve individual and organisational performance

Broad (2005, p.81) states that the main and important objective of training and development is to address performance deficiencies both at individual, team and organisational level. She further notes that training and development consists of structured learning experiences to help a learner gain new knowledge and skills to assist them do their job. Bakwena (2000, p.98) differs with Broad's view that training improves performance. Bakwena (2000, p.98) argues that researchers have not been able to clearly demonstrate that indeed training and development improve individual and team performance, a sentiment held by many. Bakwena (2000, p.98) adds that it is not necessarily true that training and development improves performance.

The assumption that if they are not performing the way they should, training and development are the solution, is no longer true (Broad 2005, p.82). The question then is, if training and development were not improving performance, why then have organisations spent $ billions on training and development for many years. There must be a bit of the truth in that to some extent training and development improves individual, team and organisational performance. The main question may-be would be, to what extent training and development contributes to the effective and efficient operation in the organisation (Bakwena 2000, p.98).

After discussing the concept of the objectives of training, it is important to critically look at a systematic approach to training and development for the endeavour to be effective and achieve its primary objective. Organisations need to take into consideration the following critical organisational factors when planning, delivering and implementing training plans.

3.4 CRITICAL ORGANISATIONAL SUCCESS FACTORS

Some of the organisational characteristics that distinguish an effective and efficient organisation from the rest include: establishing a training culture in the organisation, developing leadership that encourages learning in the organisation and lastly, an organisation which manages its employees' performance and appraises them accordingly.

3.4.1 Creating a training culture

The training culture indicates to employees what behaviours are acceptable and what types of behaviour are not. As a result, establishing a culture that is supportive to the attainment of excellence in an organisation ensures improved performance. Important questions are therefore, what type of culture is most conducive to effective training and development and how such a culture can be established in the organisation.

Johnston and McClelland (1994, p.30) note that the challenge now is to develop a market-driven training culture without losing reliability, and giving meticulous attention to detail, underpinned by sound ethical principles, which remain essential to continued and sustained success. There is a common agreement that training and development must be driven by the strategy of the organisation. Due to this scenario, trainers are now expected to define where the emphasis will be on organisational needs through individuals so as

to arrive at an organisation which strives for long-term learning, rather than short-term training. These learning demands are continuous and demand meaningful interaction between people and their work environment. An environment which is both supportive and stimulating will lead to considerable learning, and, through this, to individual and organisational growth (Johnston & McClelland 1994, p.30).

Training and development cannot be separated from the organisational culture as culture directs the behaviour of employees, creates greater commitment to organisational goals and objectives and serves as a yardstick to employees when they have to make decisions and solve problems (Kreitner & Kinicki 2001, p.75). Hall & Meh (2004, p.1) suggest that culture is the key to organisational excellence and the creation and management of a performance culture.

From the above, it can be concluded that organisational culture is the deep structure of the organisation which consists of the collective values, beliefs and assumptions of organisational members. Therefore, the management of training and development will be more effective in an organisation where training is embedded in the organisational culture.

Kreitner and Kinicki (2001, p.75) identify three types of cultures, namely constructive, passive-defensive, and aggressive cultures. A constructive culture is one in which employees are encouraged to interact with others and to work on tasks and projects in a manner that will satisfy their needs for growth and development. This kind of culture is appropriate in a learning environment because it encourages interaction and effective communication between the trainer and the trainees. A constructive culture is more conducive to performance than an aggressive- defensive or passive-defensive culture because in the constructive culture, the organisation values help members to set and accomplish their goals (Kreitner & Kinicki 2001, p.77).

Wright (1994, p.117) provides the following characteristics for an ideal training culture:

- A unifying philosophy and spirit emanating from the top;
- The conscious cultivation of an internal guidance system by inculcating basic values and beliefs;
- Intensive communication;
- Encouragement of internal competition;
- Allowance for mistakes;
- The use of heroes or role models, rites and rituals;
- Work will be meaningful through a general emphasis or orientation on caring and on people rather than the mechanistic side of management.
- Stimulated to achieve superior results;
- Inspired to communicate progress and results; and
- Willingness to accept responsibility for results.

Robbins (2003, p.528) states that culture influences employees' behaviour. Culture reduces formalisation and creates a common understanding on how employees' efforts are recognised and rewarded. According to Robbins (2003, p.528), a person who receives a job offer, is appraised as a high performer and subsequently gets promoted, is strongly influenced by a positive individual-organisation fit. It means that the applicant's or employee's attitude and behaviour are compatible with the organsitional culture. Culture enhances organisation commitment and increases the consistency of employees' behavior. Culture is valuable because it reduces ambiguity. It tells employees how things are done and what is important.

Alu (2004, p.117) states that to establish a culture that supports training, organisations need to give careful attention to their vision and the values they endorse. He further states that successful organisations have strong values and strong guiding visions that communicate appropriate behavior. These

values are shared across the organisation and they reflect in the everyday actions of employees, individually and collectively. Organisational culture and values are sources of competitive advantage for the organisation. Culture and values provide a link between the way people are managed and the overall performance of the organisation.

From the above discussion, it is clear that a training culture promotes development and growth in the organisation. The next section presents a discussion on the importance of effective leadership in a training environment.

3.4.2 Developing organisational leadership

Friedman (2000, p.181) lists and describes the various characteristics of a training leader and these include:

- Managers are pragmatic visionaries seeing their work in the larger context of the training system as a whole;
- Centrality of values reinforcing the core set of training department values;
- Effective training managers are master strategists and tacticians being able to ascertain how external forces will shape the organisation and as a consequence also being able to articulate a realistic path for the future;
- The essence of organisational training and development is the skillful devolution of power developing the leadership capabilities of subordinates;
- Effective training managers are stewards of learning and will continuously encourage others to learn;
- Training managers are learners themselves despite their capability to direct and strategise; and

- Effective training managers realize that there is no single path for organisational training and would depend on the culture and processes in an organisation.

Leadership in a training environment also contributes to the establishment of an effective learning culture in the organisation (Dobson 2001, p.11). Leaders influence employees through their position of authority and employees become acute observers of how leaders act and frequently emulate their leaders, in words and deeds. Establishing a training culture needs leadership commitment and support for the process through goal setting. Purcell (2004, p.56) emphasises that the behaviour of leaders, who are responsible for both training and performance management, contributes to the establishment of a high performance culture in the organisation.

Daft and Morco (1998, p.420) state that leadership plays an important role in the development and implementation of training and development in the organisation. These authors define leadership as the ability to influence people toward the attainment of goals. A leader is someone who sets direction in an effort to influence people to follow that direction. How leaders influence and set direction depends on the organisational culture.

According to McGill (2004, p.136), one study of 167 firms in 13 industries over a 20-year period found that the administration factor (i.e. a combination of leadership and managership) had a limited effect on sales and profits. Re-analysis of the same data found that leadership accounted for more change in performance than other variables studied. McGill (2004, p.124) states that a leader can make a difference by influencing training and subsequently performance, goal attainment, individual growth and development.

In the training and development process, the manager draws on his/her personal competencies to influence employees and social competencies to

establish a constructive relationship and cognitive competencies to influence the training process.

Effective managers do not give orders and discipline staff. They draw the best from their people through encouragement, support and personal charisma for individual employees to develop (Price 2004, p.18). Blake and Mouton perceive an effective manager as one that has concern for both employee and task and can integrate personal needs and organisational needs. Situational leadership theory, such as that of Hersey and Blanchard, postulates that an effective leader is one who has the ability to organise and spell out the task to the group and maintain a constructive interpersonal relationship with group members (Werner 2003, p.193).

From the above discussion, it may be concluded that an effective training manager who is able to lead subordinates into a learning environment, should be aware of his or her own training and development priorities. An effective training manager is able to guide, direct, influence, plan, and implement training and development priorities that would not only address departmental needs but will also be able to attract and retain individual commitment to departmental learning.

3.4.3 Develop a performance management system

There is often confusion about the role of performance management and performance appraisal. It is therefore necessary to understand the difference between the two. In order to clear the confusion about the two concepts, brief definitions of performance management and performance appraisal will be provided. Performance management is an overall strategy to improve performance in an organisation. According to Bacal (1999, p.3) and Viedge, Schultz, Bagraim, Portgieter and Werner (2003,

p.78), performance appraisal is a sub-component of an overall performance management system. The isolation of performance appraisal from other performance management processes will render the entire performance management system inadequate and incomplete. The main difference between performance management and performance appraisal is that performance management is a continuous process while performance appraisal is performed once or twice a year (DPSM 2001, p.12).

Training and development cannot improve both employee and organisational performance if there is no performance management system in place. There is a need for organisations to continuously manage and appraise employee performance in order to have effective training and develop programmes addressing issues of poor performance. Both performance management and performance appraisal determine the type and the quality of the training programme to be delivered.

The main objective of this research is to formulate strategies that can be used by the Botswana public service to evaluate the effectiveness of training and development initiatives. In chapter two, the Botswana performance managemenet system was discussed and this section provides guidelines for an effective performance management system and performance appraisal that effectively informs training managers on the type and the quality of training required for the organisation.

In order to clarify the function and the role of performance management, the definition of performance management, its purpose and the application at individual, team and organisation level, will be discussed in this section. The discussion will also include how both performance management and performance appraisal influence training and development decisions.

Performance management is an ongoing communication process between an employee and his/her immediate supervisor. It involves establishing clear expectations and an understanding of the essential job functions the employee is expected to fulfill, Bacal (1999, p.5) suggests that specific aspects of the employee's job, which should be discussed with him/her, include the following:

- How the employee contributes to the goals of the organisation;
- What performing a job well means in concrete terms;
- How the employee and supervisor will work together to sustain, improve or build on the current performance level of the employee;
- How job performance will be measured; and
- Which barriers prevent performance and how to remove them?

According to Joubert and Noah (2000, p.18), performance management entails formally guiding, directing, measuring, evaluating and rewarding employee effort, competence and talent to achieve organisational strategic objectives. It is therefore evident, that performance management is a combined effort between the supervisor and employee to achieve organisational goals.

Performance management is aimed at obtaining better results from individuals, teams and the organisation by understanding and managing performance within an agreed framework of planned goals, standards and competencies (Armstrong 2000, p.45).

Firstly, performance management is concerned with individual, team and oganisational effectiveness. Secondly, performance management is concerned with continuous employee development. Thirdly, performance management is concerned with satisfying the needs and expectations of all organisation stakeholders which include owners, management,

employees, customers, suppliers and the general public. During performance management, the needs of individuals, teams and the organisation should be considered and respected.

Finally, performance management is concerned with communication, involvement and participation. It is aimed at creating a climate in which a continuous dialogue between manager and team members takes place to define expectations and share information of the organisation's, mission, values and objectives (Organisational Performance 2000, p.2). In order to understand the scope of performance management in an organisation, three levels of performance management are identified, namely performance management at individual, team and organisational level.

3.4.3.1 Performance management at individual level

The development phase at individual level is concerned with employee skills development and comprehensive performance feedback, which results in the necessary performance adjustments. According to Ivancevich et al (1997, p.7), individual performance is the foundation of organisational performance and the understanding of individual behaviour is therefore critical for the effective management of performance. Viedge et al (2003, p.82) state that a discussion of performance and the understanding of behaviours form the basis of performance improvement. During the discussion, the manager is able to identify the training needs of the individual. The next step is the review, analysis and evaluation of the employee's performance. Management should also establish a reward system that enhances the attainment of individual, team and organisational goals. Once the employee has attained the desired goals, performance goals and responsibilities are redefined.

Teams play a crucial role in the modern business and therefore, it is important for the organisation to maximise the capability of teams in achieving their strategic goals. Team performance like individual performance is critical for not only organisational effectiveness, but also for competitiveness.

The next section will present a discussion on the management of team performance.

3.4.3.2 Performance management at team level

Performance management actions at team level do not vary from performance management at individual level, except that they are aimed at the collective efforts of team members. For any organisation to perform effectively at team level, interdependent individuals and groups must establish working relationships across organisational boundaries, between individuals, and between groups. The management of individual performance can be used to foster this interdependence. Top management must be committed to the team and the management of its performance. Through their time, attention, and other behaviour, leaders must continually express and reinforce the notion that team work is the only way to achieve planned performance goals.

Gibson, Ivancevich and Donelley (1997, p.215) observe that, just like individuals, teams need nurturing and support. It is not enough to develop a mission, goals, and performance strategies for a team without continuously managing its performance. Managers must, through team building and communication, co-ordinate and adjust the performance activities of teams to maximise effectiveness. Team performance must continually be reviewed, analysed and evaluated. Organisations also need to establish a reward system for teams. Team rewards must be

commensurate with the value of organisational performance and team contribution. Performance expectations for teams are continuously redefined through the development of suitable strategies.

It can be concluded that the role of teams in improving organisational performance is equally important as individual performance and therefore it is important to manage team performance to improve the overall organisational performance.

3.4.3.3 Performance management at organisational level

An organisation consists made of individuals and teams whose performance has to be managed continuously. Performance may also be managed at organisational level. This section will cover performance standards and measures, and characteristics of an effective performance management system.

Performance management at organisational level begins with the development of a strategic business plan and organisational design which enhances performance management. Performance management at this level also entails a review of organisational performance against the strategic business, training and development plan and financial goals.

It can therefore be concluded, that performance management must be based on the strategic plans of the organisation. Individual and team objectives are deduced from the organisational strategic objectives and the strategic human resources development plan of the organisation.

From the above discussion, it is evident that the development of a performance management system begins with establishing the advantages of the current management system and re-engineering it

according to the strategic needs and objectives of the organisation. The next section focuses on the performance standards and measures.

3.4.3.4 Performance standards and measures

An important aspect in the development of a performance management system is the development of performance standards and measures. The first step is to determine the employee key performance areas, also called critical performance areas. Performance standards and measures are developed for the key performance areas and must subsequently be rectified by training and development.

Critical performance areas are responsibilities or accountabilities of such importance that unacceptable performance will result in a poor performance appraisal. Key performance areas must be formulated thoughtfully because an employee's unacceptable performance can result in disciplinary action.

According to Thomas (1999, p.41), the following questions assist in identifying key performance areas:

- Is the performance area a major component of the work?
- Does the performance area address individual performance only?
- Are there serious consequences if the employee does not complete his/her work?
- How does underperformance affect the work if the employee fails to perform in one of the key performance areas?

Productivity can be measured in terms of quality, quantity, timeliness and cost effectiveness. Quality addresses how well an employee and

department perform work and the accuracy or effectiveness of the final product(s). Quality refers to accuracy, appearance, usefulness or effectiveness. Quality measures include error rates such as the number or percentage of errors allowed per unit work and customer satisfaction rates (determined through a customer survey). Quality deals with how much work an employee or department produces in a given time. Quantity measures can be expressed as the number of products produced. Timeliness entails how quickly, when, or by what date the employee or department produces work.

Time measures include maintaining or reducing unit costs, reducing time taken to produce or provide a product or service or reducing waste (Thomas 1999, p.54).

Performance standards are management-approved expressions of the performance requirements or expectations that employees must meet to be appraised at particular levels of performance. Performance standards and measures are developed for both departments and individual key performance areas. Performance standards can be profit, market or productivity based (CIMA Study Text 2000, p.222). Profit standards indicate how much profit the organisation wishes to make in a specific period. Market share standards indicate the total market share the organisation is aiming to have.

Productivity standards express the relation between the inputs and outputs. The ratio indicates the relative productivity with which tasks are performed (CIMA Study Text 2000, p.222).

It is evident from the literature that managers and supervisors should set department and individual performance standards and measures in collaboration with employees and according to the overall organisational

objectives. Managers should ensure consistency when formulating employee standards and measures. In the next section, the characteristics and requirements of an effective performance management system are discussed.

3.4.4 Characteristics of an effective performance management system

Various characteristics for an effective performance management system are provided by different authors. According to Renton (2000, p.43), the key to an effective performance management system is to align both team and individual performance to the current strategy and goals of the business.

Renton (2000, p.44) provides the following requirements for an effective performance management system:

- The performance management system should be owned by line managers and driven by senior management;
- Managers should understand and accept the need to consistently measure performance at all levels;
- Managers should accept that defined performance management is essential for the business;
- Managers should have the necessary knowledge and skills to manage subordinates;
- Consequences and rewards should be utilised to reinforce the process consistently and positively;
- Other human resource processes should be aligned with the performance management process;

- Performance management should be transparent, openly challenged and defendable;
- Each team should develop measurable unit targets for the current planning period that reflect their contribution to the short and long-term strategy of the business;
- All performance targets should add significant value to the business and be specific and measurable;
- Individuals should perceive their targets as contributing to the team's overall performance targets;
- Managers and team members should accept that rewards should reflect the achievement of targets;
- The manager and the employee should assess the employee's performance for the period under review;
- Managers and subordinates should sign off the assessment as valid, balanced and fair; and;
- The effectiveness of the performance management system should be formally evaluated at least once a year and appropriate improvements made for the next cycle (Renton 2000, p.44).

According to Dobson (2001, p.14), supervisors play a crucial role in performance management by promoting employee commitment, motivation, retention and development. He adds that effective performance management strategies are necessary during the performance review cycle. Some of these strategies include:

- Set meaningful, attainable expectations aligned with the mission and broad objectives of the programme;
- approach this process as a collaborative effort, engaging employees in the process;
- provide employee access to the necessary tools, resources and provide a supportive environment that enhances performance;

- continually assess and communicate performance progress;
- Provide for on-going coaching, mentoring and active pursuit of new knowledge and learning;
- Provide employees with a mid-year progress review and final evaluation feedback; and
- Appreciate employee performance through the use of many available forms of recognition and reward.

It could be concluded that certain characteristics and requirements have to be met for the organisation to benefit from an effective performance management system. It is important to distinguish between performance management and performance appraisal and not confuse the two.

It could be concluded that performance appraisal is an integral part of performance management. It could mistakenly be assumed that performance management is concerned only with following regulatory requirements to appraise and rate performance, when in actual fact it is part of the overall performance management process. In the next section, attention is given to performance appraisal and the rating techniques used to appraise the performance of employees.

3.4.5 What is performance appraisal?

Performance appraisal is an integral part of an effective training cycle. The trainer needs performance appraisal results to determine the kind of training to be provided.

In this section, performance appraisal will be discussed and how it is linked to training in an organisation. It is important to note the appraisal outcomes determine the kind of training for an individual employee or for collective training. Performance appraisal is one critical step in the training

process that should not be overlooked. It can also be argued that the success of a training process is dependent on the validity and reliability of the appraisal process. When employee performance appraisal has been poorly conducted, the information given to the training department will be inaccurate and to a large extent misleading. It is therefore important, to provide detailed guidelines on performance appraisal.

Hilgert and Leonard (1998, p.387) state that a formal performance appraisal by a supervisor consists of two phases: completing a written appraisal form and conducting an appraisal interview.

Completing a written appraisal form implies facilitating the appraisal process and making it more uniform. There are numerous types of forms which can be used for employee evaluation and the human resources department prepares these forms with input from employees and their supervisors. Once these forms are prepared, the human resources department usually trains supervisors and employees on how to complete them. The supervisor informs new employees on the appraisal process.

Employee appraisal forms normally make provision for the following information:

- Job knowledge;
- Conduct;
- Ability to learn;
- Attitude;
- Timeliness output;
- Suggestion and ideas;
- Quality of work;
- Safety;

- Co-operation (effectiveness in dealing with others);
- Effectiveness in use of resources; and
- Judgement (Kreitner & Kinicki 2001, p.275).

The supervisor should ensure that only information that is relevant to the employee's performance is included in the appraisal form and the appraisal interview. The appraisal interview is based on the written appraisal report. Approaches that may be used for the appraising interview include the tell-and-sell method, tell-and-listen method or the problem solving method.

- With the tell-and-sell method the manager tells the employee how he/she has been assessed and tries to sell the evaluation and the improvement plan to the employee;
- With the tell-and-listen method the manager tells the employee how he/she has been assessed and then invites the employees to respond; and
- With the problem-solving approach the manager abandons the role of critic and becomes a counsellor and a helper (CIMA Study Text 2000, p.132).

Factors that enable the supervisor to make performance evaluations rather than personality judgments should be used whenever possible. According to Erasmus, et al. (2000, p.430), there is no best-appraisal interview method. The choice of interview method depends on the employee and the job specifics. These authors state that the effectiveness of the appraisal interview is dependent on the supervisor's knowledge of variables and how to apply the necessary skills for a flexible and situational approach towards the appraisal interview.

The performance appraisal process becomes less objective when the appraiser is biased. The leniency error occurs when supervisors give employees higher ratings than they deserve (Joubert and Noah 2000, p.19). Some supervisors may be more severe than others in appraising the employee. A supervisor who gives a low rating might damage the morale of the employee being appraised. Such a situation might arise when the supervisor feels that a good rating will result in the employee being promoted to other departments in the organisation.

According to Newstron and Davis (1997, p.176), most appraisal systems require supervisors to assess employees on various aspects of their performance, behaviours and personal traits. Many appraisal systems focus on historical performance and the individual's potential for growth and advancement. An effective performance appraiser is one who:

- Is knowledgeable about the employee's job;
- Has previously set measures for performance standards;
- Gathers specific information about performance;
- Seeks and uses inputs from other observers in the organisation;
- Provides acceptable support and praise for tasks well completed;
- Listens actively to employee inputs and reactions;
- Shares responsibility for outcomes and offers future assistance; and
- Allows participation during the discussion (CIMA Study Text 2000, p.34).

In a study conducted by McNeill (1999, p.78) it became evident that managers generally express discomfort with playing the role of performance appraiser. The research concluded that most supervisors dislike "playing God and try to avoid responsibility for providing their

subordinates with performance feedback". Charges of racism, sexism and perceptual distortion have also been leveled at appraisers. In a study that monitored the fate of 173 unionised employees who filed grievances against their supervisors over an eight-year period, it became evident that those who filed grievances previously received lower performance ratings than their co-workers who had not filed grievances. The researcher concluded that supervisors may use performance appraisal as a weapon to get even with employees they dislike.

A lack of performance appraisal skills may hinder the performance appraisal process. According to research, 25 per cent of managers responsible for appraising employee performance are not trained (McNeil 1999, p. 79). The research indicated that when training is provided, it focuses on aspects such as procedures, deadlines for submitting the appraisal forms and other administrative functions and not on appraisal skills.

The appraiser should have the following skills to be effective in appraising the performance of employees:

- Be in a position to observe the behaviours and the performance of the employee;
- Be knowledgeable about measuring employee performance goals;
- Have an understanding of measuring employee performance and;
- Must be motivated to do a continuous job rating.

According to Armstrong (1999, p.356), managers need to ensure that all four abovementioned criteria are satisfied if performance appraisal is to be conducted properly.

The appraisee has to play an active part in performance appraisal. McNeil (1999, p.78) states that employees often play a passive, listening and watching role when their performance is being appraised. To overcome this problem, some organisations, in both the public and private sector, include self-appraisal as part of their performance appraisal process. Self-appraisal allows the employee a personal assessment of his/her accomplishments, strengths and weaknesses. This approach has several advantages:

- It saves the manager time as the employee identifies the areas of competence which are relevant to the job, and his/her relative strengths in these competencies;
- It offers increased responsibility to the individual, which may improve motivation;
- It may be a way of reconciling the individual's and organisational goals;
- Self-appraisal reduces the need for a skilled appraiser, thus cutting training costs and reducing the manager's role in the appraisal; and
- It offers more flexibility in terms of timing, with individuals undertaking ongoing self-evaluation (Organisational management 2001, p.215).

However, this approach has its problems, which include the employee diminishing their responsibility and blaming structural factors for their poor performance.

According to Newstron and Davis (1997, p.178), self-appraisal can be problematic as the employee has to perform multiple functions in the appraisal interview. Self-appraisal can be difficult and threatening for many managers. In addition, there are several behavioural problems

inherent in the process. It can become confrontational when each party is convinced that their views are right. Self-appraisal is an emotional approach because the manager‘s role calls for critical evaluation while the employee desires to “save face”, which leads to defensiveness. However, self-assessments are much less threatening to one’s self-esteem than those received from others. Therefore, self-appraisal provides more chance for growth and change, and it has many advantages.

3.4.5.1 Performance appraisal approaches

According to Viedge, et al. (2003, p.483), four approaches can be used to appraise employee performance. These include the traits, the behavioural, the results and the contingency approach.

The traits approach involves rating the employee’s personal traits or characteristics such as initiative, decision-making and dependability. The traits approach method is considered to be the weakest of the four appraisal methods as it focuses on the person rather than the actual performance. For example, rating an employee low on initiative does not tell him/her how to improve his/her job performance. This approach also makes employees react defensively to feedback (Schultz 2001, p. 525).

The behavioural approach focuses on an employee’s behaviour rather than on his/her personality. The advantage of this approach is that examples of specific behaviours can be highlighted during the feedback process.

The results approach, unlike the traits approach, is based on what the individual has accomplished. Management by objectives is the most common example of a results approach.

The contingency approach is the most useful approach as, unlike the other three approaches, it focuses on the reasons why the employee has not achieved the desired targets and provides an opportunity to correct these. The traits approach, unlike the contingency approach, is poor when promotion decisions are to be made for candidates with different jobs. The results approach method fails to specify why the appraisee's objectives have not been met, while the behavioural approach is subject to situational limitations, such as when employees with different jobs are being evaluated for promotion (Schultz, et al. 2001, p.484).

Toffler (2005, p.18) states that it is not enough to simply assert that training leads to better workers, better workers lead to higher quality work, which leads to higher customer satisfaction, to more loyal customers to higher revenue. Toffler argues that it is important to show the connection between training, improved performance and more profit. Toffler recommends that one needs to show training skills critical to the organisational objectives, and to focus on the most important of those skills.

The overall purpose of this research is to develop effective training and development evaluation strategies to be used by the Botswana public service. It is therefore important, to first investigate how performance management functions and performance appraisal contribute to an effective training and development and the evaluation thereof. The objective of this section was to gain an understanding of elements of performance management and the relationship between the various components including performance appraisal.

3.5 IMPLEMENTATION AND MANAGEMENT OF A LEARNING ORGANISATION

This section presents a discussion on the implementation and the management of a learning organisation. Also highlighted in this section are building blocks for a learning organisation, challenges facing managers in creating a learning organisation and various step for creating a learning organisation.

The challenge of implementing and managing a learning organisation lies in facilitating the learning of all employees, thereby ensuring the continued transformation of the department itself. Thus, the learning organisation does not fit itself within the bureaucratic forms of management with fixed chains of command or lines of communication. The purpose of organisation learning is to enhance individual capabilities in order to strengthen departmental capability, in order to ensure responsive product and service delivery. The management of organisational learning cannot be addressed through human resources development and training but rather through the implementation of a holistic human resources management system that would address all aspects regarding the management and development of human resources.

In this section, attention will be focused on the characteristics and culture of a learning organisation, the addressing of the challenges hindering the implementation of learning organisation, steps involved in the implementation of a learning organisation and the management processes involved in facilitating the implementation of a learning organisation.

3.5.1 The building blocks of a learning organisation

The building blocks of a learning organisation can be further explained by focusing on different types of learning. The different types of learning, according to Farago and Skyrme (1995, p.2), include:

- Level one learning, which involves learning facts, knowledge, processes and procedures as they apply to known situations;
- Level two learning consists of the learning of new job skills that are transferable to other situations;
- Level three learning describes the learning or the adaptation to more dynamic situations where the solution need to be developed; and
- Level four learning implies the learning to new learners levels, which includes characteristics such as innovation and creativity in problem solving.

Establishing a learning organisation depends on creating a learning culture. A learning culture does not mean sending employees on as many training courses as possible without evaluating the outcomes, but rather identifying on a continuous basis those training courses that will satisfy both the individual and the organisational developmental needs. A learning culture should support learning and be based on ensuring the free and fair exchange of information to put expertise where it is most needed and encouraging individuals to network extensively in order to develop their knowledge and expertise as well as supporting commitment to learning and personal development where learning is rewarded and encouraged. The learning culture will be characterised by creativity, diversity and a climate of openness and trust. The learning culture presupposes that learning from mistakes can often be more rewarding and instructional, than learning from success (Farago & Skyrme 1995, p.2).

Organisations learn through employee learning but employees who learn will, by no means, guarantee that departmental learning will take place. Without employee learning, organisations will not evolve into learning organisations. The basic building block for a learning organisation is its commitment to individual employee learning. Senge (1998, p.11) maintains that a manager's fundamental task no longer lies in planning, organising, and controlling but in providing the enabling conditions for an employee to lead the most enriching life he or she can. Senge (1998, p.56) proposes five disciplines that underwrite the building blocks for a learning organisation. The five disciplines are personal mastery, mental models, shared vision, team learning and systematic thinking.

The phrase 'personal mastery' is used to describe the discipline for personal growth and learning. Employees with high levels of personal mastery continuously expand their ability to create the results in life that they truly seek. Their quest for continuous learning is the basic spirit for the learning organisation. Personal mastery goes beyond mere competence and skill, although it is grounded in achieving competence and obtaining appropriate skills.

Personal mastery embodies two underlying movements including to continuously clarify what is important and to continually learn how to see the current reality more clearly. The gap between the vision of what an employee wants to achieve and the realities of the current position should generate a creative tension force to bring them together. The essence of personal mastery is to learning how to generate and sustain the creative tension in the day-to-day functions of employees (Senge 1998, p.142).

Mental models, according to Senge (1998, p.8), are deeply ingrained assumptions and generalisations that influence the way in which

employees will understand and take action. The mental model focuses on turning the attention inward, to the development of self and realising what can be learned from others, without making assumptions about whom these persons are.

Senge (1998, p.174) maintains that new insights are not implemented because they are in conflict with deeply held internal images on how a department works. These images limit the way employees think and act and the managing of mental models would then imply the surfacing, testing and improving of internal images of how a department functions. Developing employee capability to work with mental models involves leaning new skills and implementing departmental innovations that will help bring the new skills into regular practice. The purpose of mental models is to ensure that managers focus on changing ways employee perceive work through a systematic thinking (to be discussed shortly). Hodgkison (2000, p.5) stipulated that establishing new mental models in an ever- changing environment will not be an easy task to accomplish, but that the first step towards it should be for all employees to acknowledge their mental preconceptions and learn to deal with them.

A shared vision creates a sense of commonality that penetrates the whole organisation or department and provides a sense of cohesiveness to all diverse activities and employees. When employees truly share a vision, they are bound by it. The shared vision is crucial to departmental learning because it provides focus and energy for learning. It could be argued that through shared vision employees will strive to learn because learning a new skill becomes part of the vision and is thus important to them. A shared vision is a vision to which employees are committed, because it also reflects their own personal vision. Senge (1998, p.233) maintains that aligning the team becomes a prerequisite for empowering the individual

that will empower the team. Team learning is the process of aligning and developing that capacity of the team in order to ensure the departmental effectiveness and efficiency. Focusing on team learning presupposes that individual learning is not enough to be responsive to departmental training priorities and thus focusing on the team accomplishments sets the tone for and establishes the standards of learning for the whole organisation.

Hendricks (2000, p.88) states that organisations are moving away from strictly hierarchical structures to a more matrix-oriented structure, promoting team effectiveness and efficiency above individual performance. Only when team functioning characterises a department can team learning be propagated, but in a hierarchical structure, placing emphasis on the importance of the individual position in the realisation of departmental effectiveness and efficiency will provide the basis for instilling a new learning culture. Hodgkinson (2000, p.6) states that team learning could be achieved through an attitude of give and take and that sharing visions for the team would co-ordinate the team effort efficiently.

Team learning is also significant for individuals who could show personal mastery and talented team members should be used to develop others. However, lack of any organisational support in terms of counselling and mentoring could hinder team learning.

The fifth discipline is titled systems thinking which is based on utilising the way of thinking about language for describing and understanding the relationships that shape the behaviour of systems (Frydman, et al. 2000, p.5). ‘System thinking is a discipline for seeing the wholes’ (Senge 1998, p.123). System thinking analyses the interrelationships and patterns that bind the system together. Systems become more complex and complexity can undermine confidence and responsibility. System thinking is labelled the fifth discipline because it is the cornerstone for all the other four

disciplines. System thinking sees the interrelationships rather than just cause-and-effect situations and identifies the processes of change rather than providing snapshots. The practice of system thinking begins with creating an understanding of what is meant by feedback in trying to simplify the work situation by identifying the deeper patterns that shape events and details (Senge 1998, p.71). Individual challenges, identified by Hodgkinson (2000, p.6) pertain to the laziness and apathy of employees, highlighting once again, the importance of identifying the role of the individual within the department. The problem statement of this thesis describes the fact that training and development are not evaluated, even though at this stage they can be categorized as integral parts of a learning organisation. Training and development in a learning organisation should be part of the daily activities of employees and the not seen, as it is at the moment, as a measure to try and address the gap between actual performance and desired performance.

Critten (1993, p.204) states that the learning organsiation has a climate that fosters individual learning and development. The learning culture will also be extended to include customers, suppliers and all other stakeholders. Furthermore, human resources development strategies will become synonymous with one another. The learning organisation has to be realised from building on the principle of continuous transformation.

The importance of aligning the individual employee's position with departmental strategic goals cannot be overemphasised. Throughout the implementation of the process of the five disciplines, the foundation for a learning organisation can be created. Without alignment however, individual employees will not share a departmental vision, focus on departmental team thinking or learning, and the complexity of the system will never be understood. Facilitating the creation of a learning organisation is dependent on the reciprocal meaningful relationship

between the individual employees and the departmental effectiveness and efficiency (Van Dijk 2003, p.185).

Armstrong (2003, p.550) states that a systematic training is one that is specifically designed, planned and implemented to meet the defined needs. It is provided by people who know how to train, and the impact of training is carefully evaluated.

Brookes (1995, p.30) adds that for training and development to be successful it needs to be organised effectively. The organisation needs to have and support a training department or at the least someone with dedicated responsibility within the personnel. It is essential to have a training and development policy and training plan and to allocate a realistic budget to the training, and for training and development to be represented and supported at board level. Brookes (1995, p.30) cautions that it is important to recognise that training is not the solution to all problems, and indeed, that it could sometime exacerbate the situation.

Training is usually identified or associated with performance problems, either existing or potential, and therefore it is important for training to be systematically organised.

Swanepoel, et al. (1998, p.480) argue that one of the many reasons why training fails in the organisation is due to a lack of systematically developing training models. The authors add that it is essential to translate the needs identified into measurable objectives that will guide the training process. These objectives will state what a person will be able to do, under what conditions, and how well the person will be able to do it. Once the needs have been identified and behavioural objectives stated, training methods can be developed to achieve these objectives. Appropriate training methods must be selected and suitable materials developed to

convey the required knowledge and skills identified in the objectives. Most importantly, training management is a single and critical component that contributes to the effective training and development in the organisation.

When training and development are well managed, they can contribute to the achievement of organisational goals. Training and development play a more long-term strategic role directly or indirectly. The direct role is pursued within the context of training and development. In this respect, training and development can move away from focusing on individual skills to a more strategic approach such as leadership, team, and an organisational strategic plan (Burcley & Caple 2000, p.4).

Sloman (1999, p.73) notes that an effective link between training and strategic planning is one of the most important challenges facing training managers in recent times. Sloman further adds that in the majority of instances, training managers attach strategic organisational goals to their training and development priorities. He attributes this failure to poor planning on the part of training managers. It is therefore crucial that a strategic training plan be in place for training to be effective.

Creating a learning organisation is not easy and therefore managers have to deal with diverse and difficult situations. The next section presents a discussion on some of the challenges in creating a learning organisation.

3.5.2 Challenges faced in creating a learning organisation

Managers are faced with quite a number challenges in creating a learning organisation. These include amongst others; operational preoccupation, hierarchal thinking, reluctance to train and lack of empowerment.

Garrant (1990, p.78) identified specific conditions that would facilitate departmental learning, including creating the perception that learning is a cyclical process. The free flow of information is a necessary prerequisite for the creation of a learning organisation as well as the ability of managers to value employees as the key assets for departmental learning. Managers need to understand that a new approach to training and development (the creation of a learning organisation) will not be implemented without challenges. Specific challenges deal, for instance, with the lack of strategic awareness on the part of managers as well as a lack of personal development processes.

3.5.2.1 Operational preoccupation

The first challenge faced by managers in creating a learning organisation is operational preoccupation

Farago and Skyrme (1995, p.3) maintain that not creating time to sit back and think strategically will only hinder the successful management of a learning organisation. Strategic thinking can be a powerful tool in ensuring human resource development and training because strategic thinking will ensure the creation of the important link between human resource development (individual employee effectiveness and efficiency) and organisational development (departmental effectiveness and efficiency).

Garrant (1990, p. XV) maintains that managers lack awareness in terms of their own strategic leadership roles in the creation of a learning organisation. Day-to-day functioning prevents managers from being able to sit back and strategically think about the department's positioning and how to improve and adapt to the ever-changing external environment. No learning system is able to keep up with the changes taking place in the

external environment and thus no department can ever, in the true sense of the concept, become a learning organisation.

3.5.2.2 Hierarchical thinking

The second challenge that managers have to deal with in creating a learning organisation is hierarchical thinking.

The tendency to focus too much on systems and processes to the exclusion of other factors inhibits the management of a learning organisation (Farago & Skyrme 1995, p.3). The challenge is evidenced when a departmental structure is too hierarchical and the free flow of information is not promoted.

Employees hold on to their positions and status, because they do not understand the larger role that they play within the overall department. Their territory has to be protected, and innovation or development might just harm their status quo.

3.5.2.3 Reluctance to train

The third challenge facing managers in creating a learning organisation is reluctance to train.

The reluctance to train or invest in training is a great challenge for public managers to overcome (Farago & Skyrme 1995, p.4). The reason for not investing in training could be due to personal fears or prejudice, but it does hamper the successful implementation and management of a learning organisation. Garrant (1990, p.XV) identifies the lack of a personal development plan as a stumbling block to the successful implementation of a learning organisation. Lack of training could be as a result of a lack of

resources. Budget constraints could prevent training from occurring or the employee workload could discourage the release of employees for training. Whatever the reasons, the fact remains that a department that does not train, will not be able to respond to changing demands, will not be able to transform itself and cannot be defined as a department valuing human resource development.

3.5.2.4 Lack of empowerment

The final aspect that poses a challenge to managers in creating a learning oranisation is lack of empowerment.

Farago and Skyrme (1995, p.4) state that the lack of real empowerment is due to a management approach that is too top-driven and based on tight supervision. The management of a learning organisation is based on enhancing individual capacity and relying on creativity and innovation but too much supervision or control would only impede these goals.

Lawrence (1998, p.4) identified specific individual and organisational barriers to the implementation and management of the learning organisation. Individual employees may tend to think that they know everything that they need to know to function effectively and efficiently, they might feel a degree of discomfort with the idea of giving up what they believe or have implemented for a long time, they fear that they might be incompetent for the period it would take them to learn a new skill or they might just experience a degree of mental laziness.

Organisational barriers deal with the assumption that senior management's decisions should not be questioned. A blaming rather than trusting departmental culture would inhibit learning together with an environment where questioning and challenging are not encouraged; it

would block the sharing of learning. A learning organisation characterised by a cross-functional structure and a strictly hierarchical or too bureaucratic structure could impede the implementation of a learning organisation. Other organisational barriers could include a lack of training time, resources and materials, a lack of recognition for improving capabilities and contributions and a lack of knowledge transfer (Lawrence 1998, p.5).

Managers need to be able and capable of identifying possible challenges in the implementation of a learning organisation. The challenges themselves offer good learning opportunities for managers. The implementation of a learning organisation is, as has been stated before, an approach to employee training and development. It can be equated with the highest level of self-actualisation in a motivational theory. Managers should always strive to provide the best learning environment for their employees. The process and steps involved in the creation of a learning organisation will now be discussed.

Having established the challenges facing training managers in creating a learning organisation, it is important to consider the follow steps in creating a learning organisation.

3.5.2.5 Steps to a learning organisation

Kline and Saunders (1993, p.5) identified ten steps in the creation of a learning organisation:

- Including assessing the learning culture;
- Promoting the positive;
- Making the workplace safe for thinking;
- Rewarding the risk-takers;

- Helping employees become resources for each other;
- Putting learning power to work;
- Mapping out the vision, bringing vision to life;
- Connecting the systems and the implementation thereof; and
- Getting the show on the road.

Redding & Catalanello (1994, p.135) reduce steps identified by Kline and Saunders' (1993, p.5) to five stages and these include:
Stage one is working with no intentional learning programme but becoming aware of a training need that would lead to the second stage, namely treating learning as a consumable.
Stage three is bringing learning inside the department and through strategic linking, identifying a department with a learning agenda (stage four).

Stage five is integrating work and learning through systemic skills and work integrity. During the first stage, learning occurs unintentionally, usually because a department is newly created and everybody is still trying to figure out their own positions and strengths. The second stage is institutionalisation of training and development strategies. However, training occurs outside a department and is used as a reward for good performance. Stage three tries to evaluate the link between training and job performance. More training is provided within a department but the training is aimed at arbitrarily chosen perceived training priorities.

Stage four introduces an important shift. Learning needs are established based upon the strategic training needs of a department. A department is able to determine the skills gap between what it has available and what it needs, and can thus target the development of specific skills and knowledge.

During stage four, most learning still occurs outside a department, but during stage five the transformation occurs. The department (its senior management) realises that they have to move learning out of the external classroom and into the day-to-day work for learning in order to achieve maximum benefit for the department.

Stage five is the alignment of all departmental systems towards the achievement of performance through learning. This fifth stage coincides with the fifth discipline as promoted by Peter Senge and described earlier in this chapter (section 3.5).

Lawrence (1998, p.7) places an emphasis on the importance of senior management to be the role models for the implementation of the learning organisation. The management styles should thus be based on open and honest communication with managers being capable of influencing the processes and structures of a department. Senior managers need to first realise the extent to which they can still contribute and what they need to learn from others. Lawrence (1998, p.9) notes that empowerment and innovation lie at the heart of the learning organisation. The threat of empowerment and innovation is located in the fact that managers will have to give up the control that they perceive to have over subordinates and replace that with participation, accountability and transparency.

The learning organisation could be characterised as possessing a learning approach to strategy, basing decisions on participative processes, distributing information freely and without prejudice, and not perceiving budgets and financial controls as barriers to becoming a learning organisation. The learning organisation perceives their managers as asserting their primary task of experimentation and learning from experience. The learning organisation is built on feedback (evaluation as discussed in the previous chapter), in order to obtain information that

would create an understanding of the importance of self-development opportunities for all employees (Critten 1993, p. 219).

Lawrence (1998, p.5) suggests that a learning organisation could be implemented if senior managers learn faster and become involved in teaching subordinates. Organisational teams are more effective than individuals in problem solving while managers should encourage innovation, drive for continuous improvement and promote openness to new ideas.

In the learning organisation, learning takes place on three levels, namely individual, group and organisational learning. The importance of identifying the link between individual and organisational learning becomes apparent. In the problem statement of this thesis the assumption was made that training within the Botswana public service does not address both individual and departmental training priorities and thus does not promote the creation of a learning organisation. It has proven that even though employees are able to identify the departmental training priorities, they are not able to clearly determine how the link is drawn between departmental training priorities and individual training courses offered. Neither is specific regarding the extent to which the public service is successfully able to identify the strategic importance of the individual employee within a learning environment. The different management functions facilitating the creation of a learning organisation will now be discussed.

3.5.3 Key management functions in a learning organisation

Managers have critical functions in the creation, implementation and management of a learning organisation. These management functions include strategic planning, organising, influencing, and control.

The key management processes in the establishing and management of the learning organisation deals with strategic planning, organising, guiding and control through effective and efficient performance management. However, it is also important to note some of the leadership characteristics that can be identified with a manager able to be an organisational learning leader.

Frydman, et al. (2000, p.181) list and describe the various characteristics of the organisational learning manager. The characteristics include that:

- Managers are pragmatic visionaries seeing their work in the larger context of the system as a whole;
- Centrality of values reinforcing the core set of departmental values;
- Organisational learning managers are master strategists and tacticians being able to ascertain how external forces will shape the organisation and as a consequence also being able to articulate a realistic path for the future;
- The essence of organisational learning management is the skillful devolution of power developing the leadership capability of subordinates;
- Organisational learning managers are stewards of learning and will continuously encourage others to learn; and
- Organisational learning mangers are learners themselves despite their capacity to direct and strategise.

Creating a clear picture that future goals are not only optimistic but attainable, is the responsibility of the inspirational motivator. Managers will set high expectations and communicate a vision to employees in simple language. Employees should react willingly and increase their

effort to achieve the vision. Managers who are role models for employees are idealized as influential leaders. Managers will show great persistence and determination in achieving department objectives and goals, they will reinforce high standards of ethical conduct and share their success with their employees. Managers are thus admired, respected and trusted. Employees will desire to emulate them and follow them without any prejudice (Coad & Berry 1998, p.3).

Armstrong (1999, p.170) identified the primary and accessory leadership roles of the manager. The primary leadership roles of the manager are as a visionary, an executive, a planner, a policy-maker, a controller and a provider of rewards and punishments. The accessory function is vested in a management position. The manager acting as a role model, a symbol of group unity, an object for identification and, sometimes, a target for aggression when employees are frustrated, disappointed and disillusioned, are all examples of the accessory leadership roles ascribed to managers.

The leadership roles assumed by managers will vary according to the task at hand. For the management of the learning organisation the manager will, for instance, need to be a visionary, an expert, a role model and a symbol uniting his or her employees and guiding them through the changing learning environment.

Team and organisational development are integral parts of establishing a learning organisation and include the use of facilitators to help groups with work, job and organisational design and team development by reinforcing values, developing a vision and creating an organisational culture based on a climate of cohesiveness, sharing, support and stretching goals (Farago & Skyrme 1995, p.3).

3.5.3.1 Strategic planning

The first management function is strategic planning. Strategic planning is a process of determining the future course of action. In terms of training and development, strategic planning would imply determining the extent to which the organisation and its senior management are able to formulate training goals and priorities as well as the ability to describe the way in which goals and priorities are achieved.

According to Briscoe (2004, p.77), the planning process can be divided into seven phases which include assessing the situation, establishing objectives, determining an alternative course of action, evaluating and selecting alternatives, implementing selected plans and evaluating the progress of the plan in terms of assessed needs, the stated objectives and set control standards.

Strategic planning should be based on encouraging assumptions and thinking that test management's innovative and creative problem solving (Farago & Skyrme 1995, p.3). Shukla (1997, p.249) titles it creating a strategic intent to learn. Training managers are able to visibly and formally communicate their commitment to learning to their subordinates. The ability to promote visionary skills should stimulate strategic planning. Two ways can be identified to promote the creation of new knowledge in the organisation including articulating high, seemingly impossible goal to stimulate employees to review their assumptions about work and redesign their tasks and functions. The discrepancy between present and desired levels of performance should be magnified in order to provide direction to the problem-solving efforts of the organisation. Vision building exercises stimulates a departmentwide process of reflection, discussion, and questioning resulting in the organisation being able to refine its training processes (Shulka 1997, p.250).

Briscoe (2004, p.89) identifies specific reasons for planning being an important management function. Planning contributes to the effective handling of change and if one is to consider the degree to which an organisation needs to change to strive to become a learning organisation, planning becomes crucial. Planning provides direction and contributes to a sense of purpose for a department. Planning creates a higher level of predictability because employees gain a better perspective of what is going to be expected of them, but most importantly, planning provides an increased opportunity for participation in the department.

The creation and implementation of the learning organisation should be a goal that is not only important to senior management, but also to all levels of the hierarchy in the department. Involvement, commitment and participation are key concepts for the successful implementation of learning in an organisation and can be facilitated through appropriate planning. Planning and organising affect one another and the organising function of managers in the learning organisation is important in terms of creating an enabling learning environment. After the planning process, managers must organise resources in order to achieve their strategic plan.

3.5.3.2 Organising

Managers are also charged with the responsibility of mobilizing resources to promote a learning organisation.

Organising can be defined as the arranging and grouping of jobs, the allocation of resources and the assignment of work in the department in order to ensure that functions are implemented according to plan (Robbins 1995, p.164). Cloete (1998, p.167) states that when two or more people work together, an organisational structure should be put in place in order to facilitate the activities of employees. The organisational structure is the

mechanism through which training functions are effectively and efficiently implemented. With regard to training and development, the organising functions of establishing lines of communication is important for both feedback and evaluation purposes. Training managers must ensure that communication between structures is effective for organisational learning to be enhanced. The other function of managers is using their influence to change employee behaviour towards learning.

3.5.3.3 Influencing

The status and powers of managers influence the way in which employees learn in an organisation and therefore, managers may use their influence to create a learning environment in an organisation.

A leader practises influencing and leadership refers to the leading, directing, actuating and motivating of subordinates. The basis for leadership is that it is an action aimed at influencing the actions of others. Thus, leadership cannot be taught, but it is inherent in the characteristics of a person. Effective leadership skills can, however be taught to training managers. Leadership also influences the way in which employees perceive their work situation. Employees would like to be challenged because employment is the tool to empower the employee in order to pursue more desirable activities during his or her time in the department.

Chung (1989, p.359) best describes the difference between a leader and a manager. A leader has followers, a leader has emotional appeal and a leader meets the needs of his or her followers. Managers have to supervise and subordinates have to follow the directive of the manager, whether it appeals to them or not. Leaders are expected to be charismatic, while managers are expected to make rational decisions. Most importantly, a leader is chosen and a manager is appointed. Thus leaders

carry the interest of their followers first while managers are expected to places a department's attainment of goals and objectives first. Managers are concerned with the wellbeing of employees, but the strategic link does not begin with the employee and end with management, but rather, it is usually the other way round.

Coad and Berry (1998, p.2) have identified seven leadership styles that are applicable to the implementation and management of a learning organisation, including lasses-faire, management–by-exception, contingent reward, individualised consideration, intellectual stimulation, inspirational motivation and idealised influence. The laissez-faire leader allows employees to do as they please and abdicates any responsibility towards them. Management-by-exception and contingent reward management are categorized in each transactional leadership styles. Transactional leadership involves role clarification, creating structures, attempts to meet the social needs of the employees and the distribution of punishment and reward based on performance.

Management–by-exception means that managers will only take action when they realise that functions are implemented contrary to the strategic plan of a department. Contingent reward is an exchange process based on the manager and employee following agreed-upon roles and responsibilities for each predetermined goal, and the manager offers rewards when employees have performed adequately. This leadership style is effective to a department and satisfies the employee, because they receive feedback on individual performance (Coad & Berry 1998, p.3).

Individualised consideration, intellectual stimulation, inspiration motivation and idealised influence are other types of transformational leadership styles. Transformational leadership is defined as creating a heightened awareness of the key issues impacting on employee development and

influencing achievement, growth and development. Transformational leadership stimulates interest among employees to view their work from a new perspective, to generate an awareness of the vision and mission of a department, to develop employees to achieve their potential and to motivate employees to transcend their self-interest so as to benefit a department as a whole (Coad & Berry 1998, p.4).

Managers provide employees with personal attention through individualised consideration. A trust relationship is built focusing on employee needs. The manager provides challenging work assignments to boost the confidence and skills of employees. Intellectual stimulation supposes that managers will encourage their employees to use their imagination and to re-think the ways of doing things. The manager generates the flow of ideas, questions assumptions and encourages employees to come up with their own structures and solutions to problems (Coad & Berry 1998, p.4).

The final management function involves taking control of activities in an organisation to promote learning.

3.5.3.4 Control

Managers are also required to control systems and activities in the organisation to promote learning.

Control is implemented to ensure that departmental activities are implemented according to a pre-determined standard. Plunkett and Attner (1989, p.359) emphasise that control is the systematic effort of identifying performance standards and comparing the actual performance with the planned performance goals and objectives. Control intends to ensure

optimal utilisation of resources. The main aim of control is to ensure that departmental effectiveness and efficiency are promoted.

The factors that will have an impact on the behaviour of employees are experiences, environmental influences, such as the value of the department, and the perception regarding the availability of rewards for good performance. In addition to these factors, specific aspects such as the skills of employees and the incentives offered by the department to enforce compliance will encourage employees to perform (Plunkett & Attner 1989, p.297).

Stahl (1983, p.246) states that motivation should be used to promote the establishment and implementation of specific new processes, such as the concept of a learning organisation. The motivation should be based on participative management, sharing decisions, keeping communication channels open and fluid, and encouraging suggestions on how performance could be enhanced.

With regard to the learning organisation, control will manifest itself in the ability of the manager to manage individual employee performance through a system of performance management and development (as was discussed in the previous chapter). The ability to offer rewards and incentives for learning will also enable the attainment of the learning organisation. The performance measurement tool should encourage the investment in learning by identifying appropriate measures and indicators of performance. Processes and systems that recognise the acquisition of new skills should be in place in order to facilitate individual effort, team accomplishments and continued personal development (Farago & Skyrme 1995, p.3).

The implementation of the management function could be enhanced by using specific management tools and techniques available to ensure compliance with a new process or in this case, a new approach to human resource training and development.

3.5.4 Tools and techniques to enhance the learning organisation

Tools and techniques used for enhancing learning in an organisation include the following: learning creativity skills, communication, coaching and mentoring.

Popper and Lipshitze (2000, p.12) maintain that effective learning is enhanced through an investment of time and money in the training process and by creating an environment that would protect transparency of performance. The manager should devote his or her time in terms of participating and therefore, re-inforcing the learning experience. Ensuring that the learning experience is evaluated is another way of ensuring that the learning environment is created. Specific tools and techniques that could be utilised by managers to ensure compliance with the concept of a learning organisation include fostering learning and creativity skills, enforcing effective and efficient communication and providing a mentoring programme to re-inforce the learning experience.

3.5.4.1 Listening and creativity skills

Listening skills are not natural skills and different styles of listening can be identified. Puth (2002, p.51) categorises listeners as interpretative, supportive, probing, understanding and empathetic. Interpretative listening is defined as being judgmental in the sense that the receiver of the

communication tells the sender what the problem with the communication is, but not what he or she should do about it.

A supportive listener wants to merely reassure the sender that the message was understood in order to avoid any conflict or problems. The probing listener will require further information until his or her needs are satisfied in terms of the original message. Understanding listening implies that the receiver will paraphrase the message to ensure that the message was communicated effectively and the emphatic listener will encourage an atmosphere for the sender to express him or herself in order to solve any problems with the communication.

Puth (2002, p.51) identified specific barriers to listening including that listeners have preconceived ideas, they think they might know more than the speaker, they might worry about something else, they might be tired or uncomfortable or they might be afraid of the speaker, and thus, refrain from commenting on the communication. The ability to resist distractions, learn to concentrate as well as the ability to be a critical listener and making sure that a person understands the message, are all guidelines for improving listening skills (Puth 2002, p.55).

The rewards of effective listening are that employees will be able to add to their knowledge, they will encourage others to be more open in their communication thereby improving interpersonal relationships, misunderstanding will be eliminated and possible problems could be detected early (Puth 2002, p.55). Thus, creating a conducive environment for the implementation of a learning organisation can be facilitated through open and honest communication. Learning and creativity skills can be clarified through seeking information, brainstorming, associating ideas, deciding on courses of action, observing outcomes and reframing new knowledge into mental models (Farago & Skyrme 1995, p.3).

Innovation is a cornerstone for continuous improvement. Unfortunately, managers are not always equipped to deal with innovation especially where the organisational structure is bureaucratic. Regarding any new idea with suspicion, just because it is new and a subordinate suggested it, and insisting that people need managerial approval before acting on new ideas could stifle innovation. Critten (1993, p.218) states that employees should not be asked to challenge or criticise each other's suggestions and management should not just offer criticism freely, without counteracting it with praise. Treating problems as failures, controlling everything carefully and assuming that just because a manager is placed in a senior management position, he or she would automatically know everything, will hinder innovation and creativity in a department.

From the above, it could be concluded that effective listening and creativity skills should be taught to managers who would assume leadership positions in the creation and management of a learning organisation. Listening is the ability to understand the feedback on original communication, and without effective listening skills, managers will not be able to implement performance management systems or be able to determine whether departmental training priorities are aligned with individual training needs. The ability to promote innovation is an important principle in the implementation of a learning organisation. Managers should be aware of behaviour and perceptions that could hinder the creative learning environment and should always strive towards creating an enabling training and development framework for departmental effectiveness and efficiency.

3.5.4.2 Communication

Effective communication should never be taken for granted and managers should never assume that they are good communicators. Messages can very easily become obscured in the implementation of new processes, or in this case, a new approach to departmental training and development. The ability to communicate the intentions of senior management becomes imperative to the successful implementation of the approach. Bendix (1996, p.328) identifies specific physical barriers such as temperature, noise, distance and methods of communication as hindering the successful transfer of understanding. Additional barriers to effective communication, such as language, poor listening habits, differences in perceptions, lack of honestly and trust, were stipulated by Robbins (1995, p.358).

Communication is the process of creating understanding and should be based on the principles of observing and listening. Communication, according to Farago & Skyrme (1995, p.3), should be encouraged especially across departmental boundaries ensuring that all employees have equal access to pertinent information regarding, for instance, human resource development and training initiatives.

Rainey and Watson (1996, p.768) identified specific strategies to enforce effective communication. Firstly, managers should develop a vision for the desired future by examining past experiences, the present situation and the future goals. All information should be disseminated and the vision communicated to all employees. Secondly, communication of the vision should lead to the creation of meaning and trust among all employees. Thirdly, management should choose the best course of action so as to instill trust, identity and integrity, by being consistent in the application of the communication. Fourthly, the manager should always

keep his or her own skills and weaknesses in mind and strive to overcome his or her limitations by using employees that will compensate for managerial weaknesses.

Improving relational communication increases job satisfaction and worker involvement and could also contribute to higher productivity even though the link between communication and productivity has not been conclusively proven. The fact does remain that the perceived openness in communication develops good interpersonal working conditions and improves overall job performance. A learning organisation is built on the premise that employees are able to work in teams, effectively and efficiently, to further departmental goals. Thus, effective group communication and group cohesion would have an impact on the ability of a department to transform itself into a learning organisation.

Effective alignment of training and development of priorities between individual employees, the group and the department require departmental change on three levels. First, cultural change involves the changing of the organisation's basic assumptions, values, beliefs and ideologies that define its view of itself and the environment within which it operates. Second, structural change entails changing the grouping of positions and departments within the organisation and third, behavioural change involves changing the behaviour, attitude and perceptions among individuals and work groups (Sadri & Tran 2002 p.3).

From the above, it could be concluded that communication is an important ingredient for effective and efficient training and development. Communication should, however, reflect the alignment of individual training priorities with that of the group and thus with the department as well. Communication is a process that, when implemented effectively and efficiently, should provide employees with the opportunity to participate in

training evaluation and, thus influence decisions regarding department training priorities. Having established how communication can enhance learning in an organisation, it is important to consider how coaching and mentoring contribute to an affective learning organisation.

Before discussing how coaching and mentoring enhance learning in an organisation, it is necessary to clarify the difference between the two terms. Berry (2003, p.50) states that there is often much confusion as to whether coaching and mentoring are synonymous or whether coaching is one of the activities of mentoring.

Parsloe and Wray (2000, p.1) as cited By Berry (2003, p.50) argue that coaching and mentoring are very similar activities the only real difference being that the coach focuses on building the coachee's ability to accomplish specific tasks, whereas the mentor has a wider perspective. They see the mentor as having a longer-term relationship with the mentee, or as a cousellor on a broader range of issues, at any given time.

3.5.4.3 Coaching

Wilson (2005, p.511) states that coaching is primarily about performance and the development of specific skills. Coaching is a person to person approach used by organisations to develop individual skills, knowledge and attitudes. Coaching is most effective if it takes place informally as part of the normal process of management or team leadership. This type of coaching consists of:

- Helping people to become aware of how well they are doing and what they need to learn;
- Contolled delegation;
- Using whatever situations arise as learning opportunities; and

- Providing guidance on how to carry out specific tasks as necessary, but always on the basis of helping individuals to learn rather than force-feeding them with instructions on what to do and how to do it (Armstrong 2005, p.898).

In a learning organisation, coaching can be used to assist senior management, someone outside the organisation who helps managers think through situation at work. In a learning organisation, line managers also take the responsibility to coach their subordinates. Some managers find coaching to be an easy task, while other need training and support to effectively coach their employees. Through coaching the individual skills are enhanced and the problem-solving techniques are enhanced resulting in a holistic growth and development of the individual and that of the organisation (Wilson 2005, p.511).

Coaching and mentoring go together, therefore after coaching employees have to be taken through a mentoring process.

3.5.4.4 Mentoring

Berry (2003, p.81) points out that mentoring is concerned about knowing the most effective way of assisting newcomers in the organisational culture.

Mentoring entails establishing a relationship between a senior and junior employee with a view to increase and promote communication between them. All three levels of change (cultural, structural and behavioural) have to be in place before mentoring can be successful as a strategy to facilitate diversity management Berry (2003, p.83). For example, management must publicly announce and support the mentoring programme (cultural level) proceeding by ensuring that enough

experienced employees are on board to serve as mentors, especially during times of organisational restructuring (structural level). The mentor must be willing to share his/her experiences and wisdom with younger employees and in turn, the younger employees must not be too scared to ask questions (behavioural level).

Mentors play a developmental as well as psychosocial role. The developmental role entails being a coach, sponsoring advancement, providing challenging assignments and fostering a positive visibility in the work environment. The psychosocial role comprises offering personal support, friendship, acceptance, counseling and being a role model (Berry 2003, p.84).

All activities characterising mentoring are interpersonal in nature and are built on and extend to reciprocal and open communication between mentor and employee. The advantages of mentoring are that employees will be better able to make the transition from being outsiders to being part of the group. They will be able to establish interpersonal relationships more effortlessly and perhaps most importantly to the department, they will be able to discover their role in the department clearly. Conflicts will be solved more easily and the assessment of the relationship between self-evaluation, as it relates to one's own performance, and departmental performance evaluation could be more easily established (Sadri & Tran 2002, p. 4).

However, the departmental culture, structure or behaviour, judgements made between mentor and employee who became too involved in each other's personal lives, mentors being tyrannical or selfish and, employees only becoming a clone of the mentor and not realising their own potential and role to be played are examples of barriers to mentoring (Berry 2003, p.86). The key to overcoming the problems or barriers to mentoring lies in

successfully placing the mentor with the correct employee. This goes beyond personality and should be based more on trust and respect if the relationship is to be enhanced. The mentoring programme should however, follow a structured approach beginning with a training session informing both mentor and employee what could be expected from each. The most important positive result from mentoring is that group dynamics will be enhanced and employees will see an improvement in their work performance and their ability to interact with each other (Berry 2003, p.93).

From the above discussion, it could be concluded that mentoring is a technique that could be utilised by managers to ensure that individual employees understand the importance of their positions within the group structure and thus within the overall departmental structure. Through mentoring the process of determining appropriate training and development priorities could be facilitated. Thus, mentorship should form part of the creation of a learning environment.

Lastly, intensive knowledge for members of the organisation is one essential tool for promoting learning in an organisation.

3.5.4.5 The knowledge-intensive organisation: a new challenge

The knowledge-intensive organisation is based on the assumption that information, knowledge and learning are central to any organisation operating in a technologically advanced environment. While Grieves (2000, p.8) maintains that the nature of knowledge can mostly be observed in high technology environments, the importance of applying the knowledge intensive/learning phenomenon to all organisations should not be underestimated, since all organisations, and especially the public service, operate in an increasingly complex environment. Knowledge management reflects on the primary role of the organisations and thus the

essence of the organisational capability that manifests itself in the creation, integration and dissemination of knowledge (Beeby & Booth 2000, p.3).

This process is called knowledge conversion and can be divided into four types, including:

- Socialisation referring to the sharing of implicit knowledge between individuals either through formal or informal communication channels;
- Externalisation referring to the conversion of implicit knowledge into explicit knowledge through a process of codification to ensure formal conversion and widespread dissemination;
- Combination referring to the spread of explicit knowledge to all individuals and teams mainly through the use of information systems; and
- Internalisation depicting the reinforcement of explicit knowledge (Beeby & Booth 2000, p.3).

The attention focused on the knowledge-intensive organisation stems from the fact that the important factor of production in any department is no longer capital, but intellectual labour (skilled employees). Knowledge is seen as the primary source of competitive advantage, while employees are no longer satisfied with the traditional command and control management styles. Knowledge is incorporated into an organisation's knowledge assets comprising its core competencies, technology, value-adding activities, processes, systems, procedures and structures. The embodied knowledge constitutes the assets through which an organisation can maintain its competitive advantage.

The role of departmental learning is to continuously create new knowledge that would lead to the more effective and efficient handling of the departmental assets. The matrix structure (organisational structure) is the only structure that would accommodate a knowledge-intensive organisation. As previously mentioned, Hendricks (2000), stated that modern organisations are moving towards a more matrix-organised structure, but if the learning processes to facilitate a learning organisation have not yet been implemented, the creation of a knowledge-intensive organisation would not be possible.

The implementation of the learning organisation will not happen in isolation and managers should expect challenges to arise including operational pre-occupation, bureaucratic structure and the reluctance to train. However, specific steps have been identified by various author on how to implement the learning organisation. Different approached to the implementation of the learning organisation were discussed, but since the concept of the learning organisation is only used, in this thesis as an approach to improving training and development for the organisation, no one approach to implementation was proposed.

The key management functions as well as the tools and techniques available to managers to facilitate the learning organisation, were discussed and the chapter concluded with a new challenge presented to the organisation: the knowledge-intensive organisation and what that would mean for the organisation.

In the next section, various theoretical training models will be presented to highlight the systematic approach to training and development in organisations.

3.6 AN OVERVIEW OF THEORETICAL TRAINING MODELS

Various models will be discussed to demonstrate how best systematic training and development can be conducted in an organisation with a view to improve performance at individual, team and organisational level. The following training models will be analysed to determine the logical steps to be taken by the trainer not only for ensuring that training and development initiatives are delivered, but also to determine the impact of such training initiatives on performance. Even though there are similarities between these training models, the main focus of this section is to critically assess each model with the aim of developing a comprehensive training and development model.

The decision to apply a systematic approach in training and development is made when the trainer is convinced that training and development are initiatives aimed at overcoming current and anticipated shortfalls in performance.

Seven training models will be discussed. The reason for specifically selecting these training models is to indicate when and how training and development may be evaluated.

Noe (2000, p.21) argues that the validity of traditional models of management of training has become questionable. In order to understand the critical steps involved in an effective training and development process, it is important to examine various training models to determine whether evaluation is conducted by that process.

According to Noe (2000, p.21), the majority of training models are systematic, in that they describe the training and development undertaken as a logical series of steps. In practice, the number and description of

these steps vary. However, these models cover the following aspects:

- Establish terms of reference;
- Investigate the performance problem;
- Analyse knowledge, skills, and attitudes (KSA);
- Analyse the target group;
- Training needs and content analysis;
- Develop criterion measures;
- Prepare training objectives;
- Consider the principles of learning and motivation;
- Consider and select training methods;
- Design and pilot training;
- Delivery of training and development;
- Conduct internal validation;
- Conduct training (transfer of learning); and
- Evaluation of training and development (Noe 2000, p.21).

3.6.1 A Systematic Training Model

This model is based on the sequence at which trainers should approach training and development initiatives. The systematic training model enables the trainer to check at every step what is it that they have to do and how to do it.

The systematic model is based on the role of training in an organisation. The model emphasises that training and development should be undertaken on a planned basis as a result of a logical series of steps (refer to figure 3.1). However in practice, the description of these steps tends to vary, but generally they would cover the following:

- Development of a training policy;
- Identification of training needs;
- Development of training objectives and plans;
- Implementation of planned training; and
- Validation, evaluation and review of training.

According to Sloman (1999, p.47) and Noe (2000, p.22), a systematic model has four identifying characteristics:

- Training can be perceived as a set of sequential steps;
- Identification of training needs can be introduced into the training cycle at the appropriate stage;
- The systematic model centres the attention on the need to act in a structured and disciplined way; and
- The models stress the place for effective evaluation of training and development at an activity point and how evaluation affects the training cycle.

Sloman (1999, p.47) states that a systematic model has two important characteristics. Firstly, training can be perceived as a set of sequential steps; secondly, the identification of training needs can be introduced into the training cycle at the appropriate stage. These are discovered when carrying out individual or group training requirements, or by interpreting overall objectives set by the organisation or by a combination of the two.

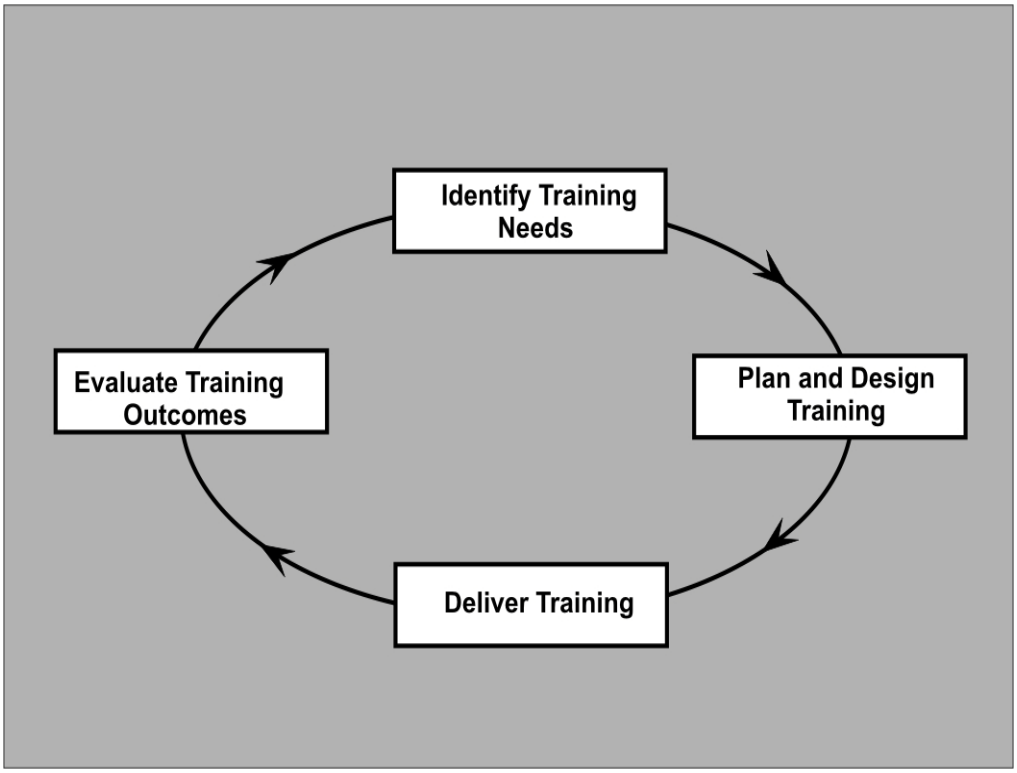


Figure 3.1: **A Systematic Model**
Source: Sloman (1999, p.47).

Sloman (1999, p.47) however, notes that the model above (refer to figure 3.1) has been widely criticised by many including Taylor (1976, p.13) for the reason that the model is firmly based on a strategic management paradigm. Critics of the model also observe that the three basic assumptions that underlie this model: In this model, training is seen as an investment in the organisation; a mechanism is required for the allocation of resources between competition investment opportunities; and there is a degree of commonality between the interests of individuals' interests and those of the organisation.

It can be concluded that the systematic model offers the basic steps to be followed by the trainer in ensuring that the training and development initiative produces the anticipated change.

3.6.2 The transitional model

The transitional model is a training model which demonstrates various steps in the organisational strategic learning process.

This is a revised traditional model which Taylor (1976, p.13) describes as a double-loop corporate strategy for learning. Sloman (1999, p.47) adds that the transitional model retains the attractiveness of the systematic model as a route map (see figure 3.2). It also embeds training strategy in a wider corporate context and recognises organisational strategic development. However, the following weaknesses have been identified.

The Taylor (1976, p.123) model offers two loops which differ in quality. The inner systematic training loop is robust and clear, while the outer loop of strategy and learning varies in its visibility and exploration.

Secondly, Taylor's model (1976, p.13) does not offer any practical guidance for training managers on how best they should carry out all the stages in the training and development process. The systematic training model remains the most simplified model that can be easily followed by trainers and evaluators alike. Regardless of its criticisms, the systematic model is the commonly used model in training. The transitional model will be presented in the next section.

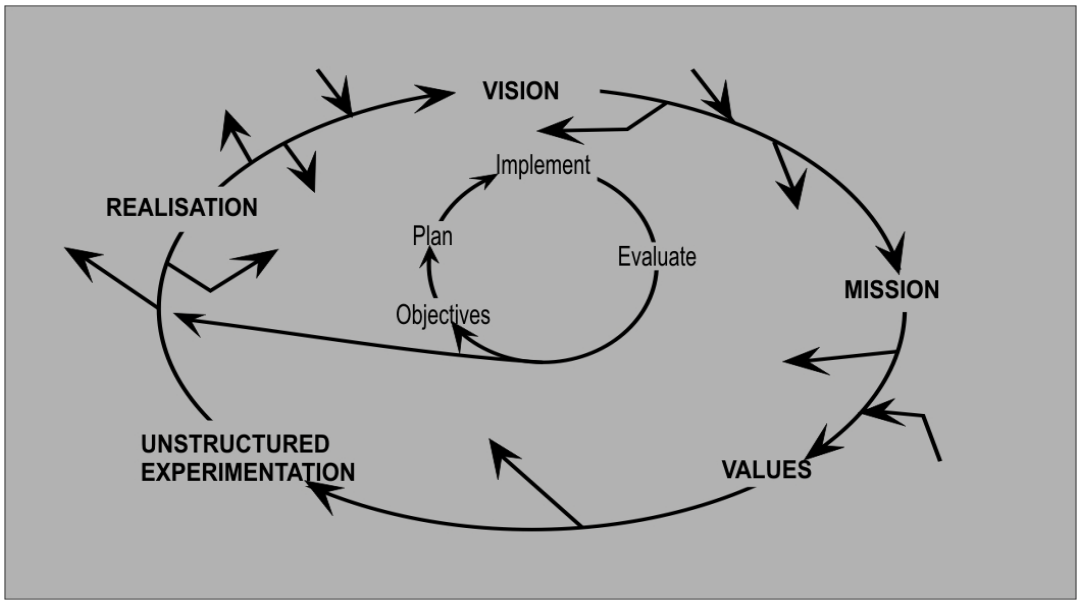


Figure 3.2: **The Transitional Model**

Source: Sloman (1999, p.49)

Noe (2000, p.23) concurs with Sloman (1999, p.49) in concluding that a systematic model may be improved by embedding the map of the wider corporate strategy into the model. On the other hand Sloman (1999, p.49) maintains that the models brings a different dimission that over and above the wider corporate strategy, organisations should also take into consideration their training objectives, plans, how they implement such plans and most importantly the most effective way of evaluating training and development initiatives (refer to Figure 3.2 above).

It can be concluded unlike the systematic model, the transitional model over and above the normal training sequence, takes into consideration the strategic aspects of learning in the organisation. In the next section the national training award model will be presented.

3.6.3 The national training award model

The national training award model is rarely used as compared to the systematic and transitional models: However, it offers a much deeper understanding of what the trainer must consider in the training process.

Sloman (1999, p.49) states that the national training award model (refer figure 3.3) recognises the need to link training objectives with organisational requirements. This model also reveals how training has contributed significantly to improved organisational performance.

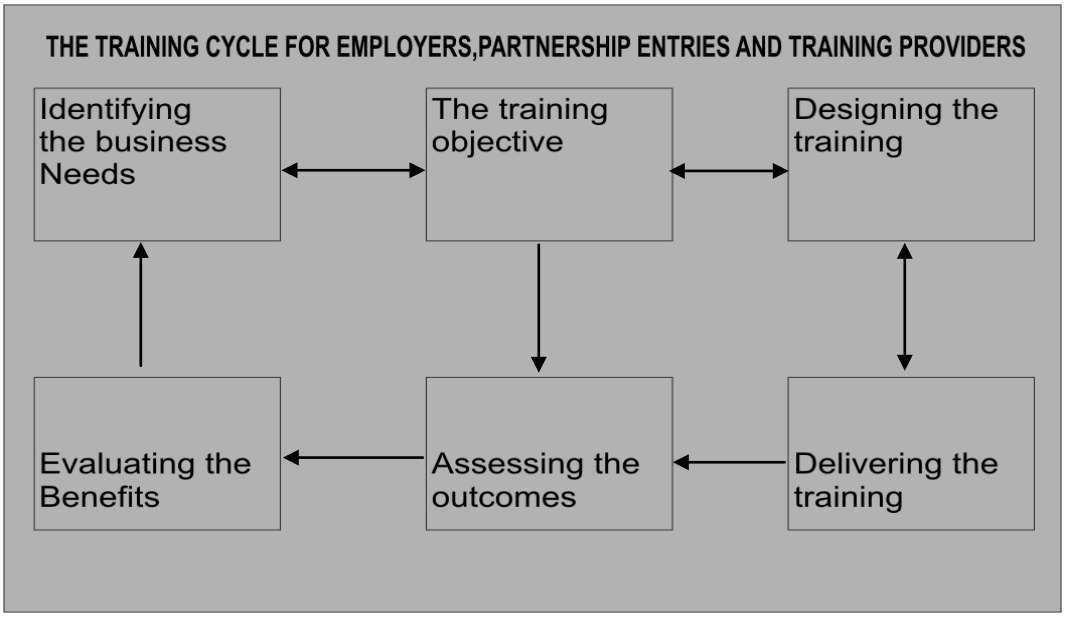


Figure 3.3: The National Training Award Model

Source: Sloman (1999, p.49)

It can be concluded that unlike the systematic and transitional models, the national training award model probes the many questions which guide the trainer on how best they should approach training.

3.6.4 Goldstein's instructional systems model

The Goldstein's instructional systems model focuses on the three basic training phases which includes: needs analysis, training and delivery and the evaluation phase. The model highlights the following phases:

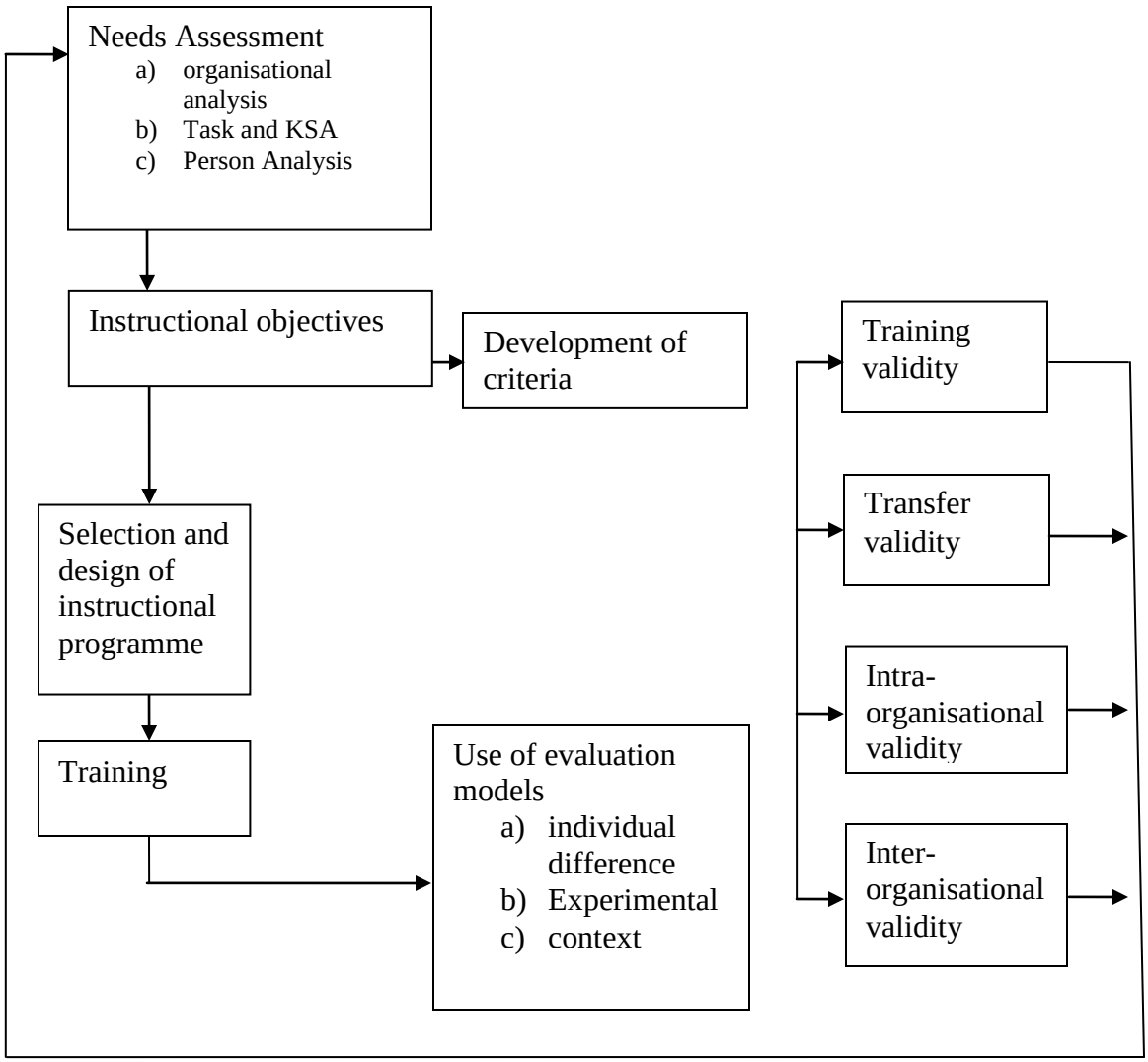


Figure 3.4: **Goldstein's Instructional System Model**

Source: Goldstein (1991, p.42).

It can be concluded that the model focuses on three primary phases with

each phase dealing with specific issues in the training process. Nadler's critical event model will be presented in the next section.

Needs assessment phase

The first phase in this model is the needs assessment phase.
Goldstein and Ford (2001, p.25) state that this phase of the instructional process provides the information necessary to design the entire programme. The authors (1994, p.67) note that many programmes are ineffective because trainers are more interested in conducting the training programme than assessing the needs of the organisation. Goldstein and Ford (2001, p.41) and Berry (1995, p.11) provide the guidelines for a needs assessment phase and these include amongst others:

- Organisational analysis-that encompasses the examination of short-term and long-term goals for the organisation as well as trends likely to affect these goals;

- Task and knowledge, skill and ability analysis which involves a careful analysis of the job to be performed by the trainees upon completion of the training programme. During this analysis both the job description and the task specification are used; and

- Person analysis considers how well a particular employee is carrying out tasks which constitute he/her job.

The information obtained from this phase enables the trainers to describe objectives to be achieved by the trainee on completing the training programme.

Training and development phase

Goldstein and Ford (2001, p.89) state that this phase involves designing the environment to achieve the objectives, using a blend of learning principles and media based on the tasks that the trainee is eventually expected to perform.

The evaluation phase

Goldstein and Ford (2001, p.30) maintain that the evaluation process centres around two procedures establishing measures of success(criteria) and using experimental and non-experimental designs to determine changes that have occurred during training and the transfer process.

From the model (refer to figure 3.5) it can be seen that there is a need for criteria be established for evaluating trainees both on completion of the programme and on-the-job. Berry (1995, p.12) and Goldstein and Ford (2001, p.30) identify the following goals; training, intra-organisational and inter-organisational validity.

Training validity: whether trainees learn during training;
Transfer validity: whether what has been learned in training transfers as enhanced performance in the organisation.
Intra-organisational validity is concerned with determining whether the performance for a new group of trainees in the same organisation that developed the training programme is consistent with the performance of the original training group.

Inter-organisational validity-determining whether a training programme validated in one organisation can be used successfully in another organisation.

Goldstein and Ford (2001, p.31) suggest that a training programme should be a closed-loop system in which an evaluation provides for continual modification of the programme as an open-loop system. This does not have any feedback or is not responsive to such information for two reasons, firstly to develop a programme which achieves their objectives and secondly to make programme modifications where necessary.

A simple instructional system model was presented by Goldstein and Ford (2001, p.24). They view all the components of this model as important to any instructional system, although they maintain that the degree of emphasis would change according to a particular programme.

Goldstein and Ford (2001, p.24) conclude by stating that the trainer should take into consideration the three phases in the instructional system model to ensure that training achieves its objectives.

3.6.5 Nadler's critical events model

This model unlike the previous models is more comprehensive and brings the issue of job performance into the training process. Training should not be done but rather it should be conducted to correct a particular performance deficiency. It is therefore meaningful for the trainer take into consideration the current employee's performance and what best training option is to be taken.

According to Nadler (1995, p.12), this model recognises the importance of identifying organisational needs and is seen as critical to the entire process. The critical events model comprises the following critical stages in a training process: identification of the needs of an organisation; specifying job performance; identifying learners' needs; determining objectives; building a curriculum; selecting instructional strategies;

obtaining instructional resources; conducting training and the evaluation of training (refer to figure 3.5).

Organisational needs assessment

Nadler (1995, p.12) states that it is important for the organisation to determine its training needs before anything else in the training process. The first step in the training process is coming up with proper organisational needs analysis will assist the trainer in designing and developing a relevant and effective training and development initiative that will go a long way in addressing organisational performance problems.

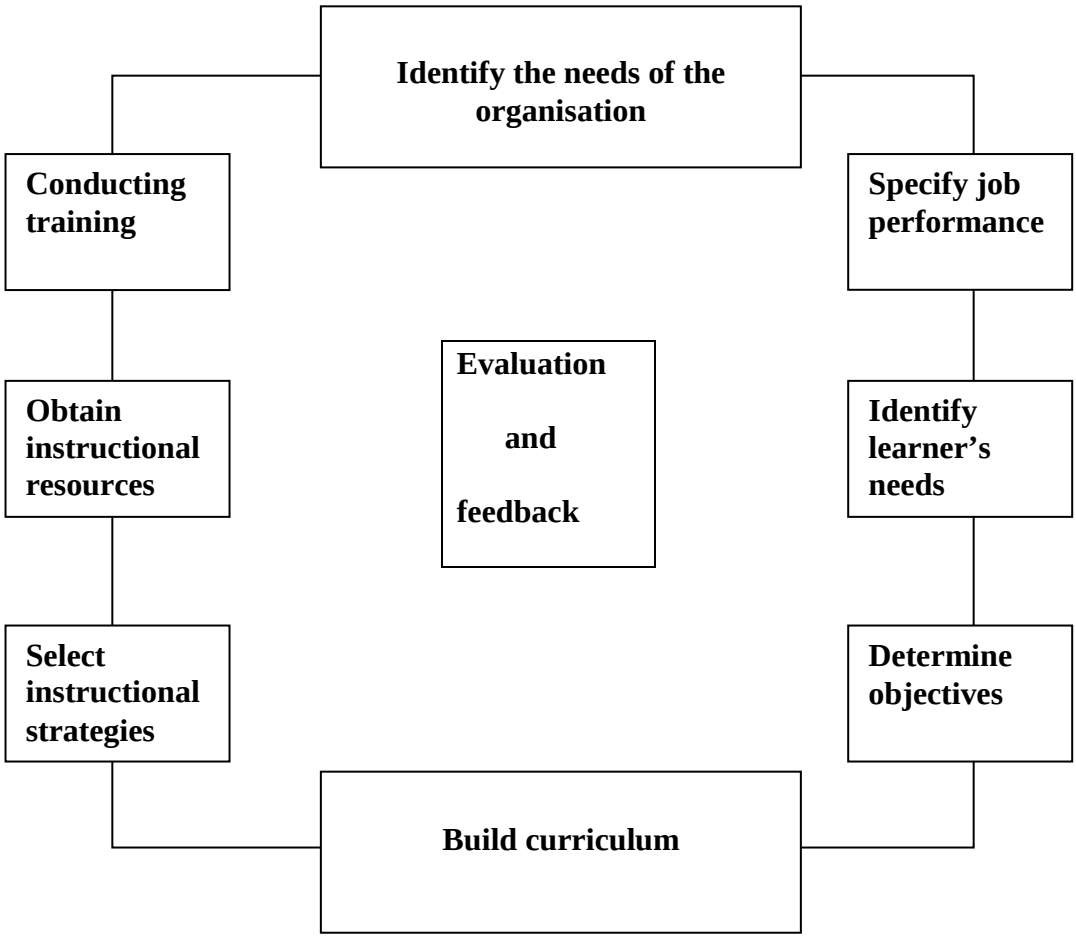


Figure 3.5: Nadler's Critical Event Model

Source: Nadler (1995, p.12).

Specify job performance

The second step is to specify employee's job performance. Employees have to understand what their jobs entail for them to be developed in their area of speciality.

Nadler (1985, p.13) argues that often employee's jobs are not specified and as a result it becomes difficult for the trainer to tell whether the employee performance problem is skill, knowledge or behaviour related. Without specifying employee job performance it becomes impossible for the trainer to plan, design, deliver, and evaluate the necessary training initiative aimed at improving the individual's performance. Having specified job performance, the trainer can now identify the learner's needs in relation the organisational needs.

Identify learner's training needs

Nadler (1985, p.13) believes that the identification of learners needs must be in line with the overall organisational needs. There should be a correlation between the individual's needs and those of the organisation. The primary purpose of training in any case is to improve performance and therefore, the link between individual training and organisational performance improvement must be borne in mind. Individual training should impact directly or indirectly on the overall performance of the organisation and therefore, addressing the learner's needs will automatically have a bearing on the type of training required. Having identified the learner's training needs, the next stage is to determine training objectives.

Determine objectives

Nadler (1985, p.14) states that training objectives identify what training and development initiatives must deliver to address a performance deficiency. It is therefore important, for the training objectives to be clear so that the trainer may know what to expect from training. The next stage after determining objectives is to build the curriculum.

Build the curriculum

The next stage according to the Nadler's critical event model is building the curriculum.

According to Nadler (1985, p.14), having determined training objectives, the next stage is for the trainer to develop the curriculum in line with the learner's needs. The curriculum should focus on addressing performance issues, an ultimate aim of the training initiative. The next stage involves the selection of the strategy.

Select of instructional strategy

According to Nadler (1985, p.15), the selection of instructional strategy is about how training will be delivered. Trainers must ensure that the selected instructional strategy is suitable for all trainees for them to benefit from the programme. Nadler (1985, p.15) reiterates that even if when curriculum is well built, it is important that the method used enhances the learner's skill, knowledge, attitude and behaviour. It is imperative that the strategy be understood by all for it to be effective. For training initiatives to take place, resources must be made available. The next stage is obtaining instructional resources.

Obtain instructional resources

Nadler (1985, p.16) states that for any training to take place managers should show their commitment by providing the training department with instructional resources and other training related assistance for that matter. After obtaining the resources training can be conducted.

Conduct training

The next stage after acquiring the instructional resources is for the trainer to conduct training. The trainer should be mindful of the rates at which learners learn and he or she must make the necessary provision to cater for the various learning needs of learners. The final stage in the Nadler's critical event model is evaluating the training and development initiative.

Evaluate training

This is the most crucial stage in a training process. Evaluating training provides important information to all stakeholders about the training programme. Nadler (1985, p.18) recommends that organisations must have qualified training evaluators in order to carry out the evaluation process. He argues that more often than not, trainers are given the responsibility of evaluating training and development initiatives without the necessary training. Nadler(1985, p.18) further observes that information on a given programme will assist both the trainees, trainers, training departments, directors and management in determining the value of training and the information may be used for further training programmes.

It can be concluded that the Nadler's critical events model provides important organisational issues to be taken into consideration for training to be effective. These include the assessment of learner's needs and those of the organisation, provision of instructional resources, and selection of instructional strategy.

Having critically analysed four models which each having a slightly different approach to the training process it is meaningful to make a comparison of the singer's four phase model to the others.

3.6.7 Singer's four-phase model

One of the reasons why the researcher chose the Singer's four phase model is because the model clearly indicates when and how training should be evaluated, the stage that forms the basis of this research.

Phillips (1991, p.174) states that this model is similar to the Goldstein model but he makes use of four clearly defined phases: viz, assessing training needs, designing the training programme, choosing the training method; and evaluating training results

A brief description of the model is provided below.

Assessing training needs

Singer (1990, p.174) explains that the analysis process should be an ongoing process and should interface with other organisational areas using organisation, task and person analysis.

Design training programme

During this phase the trainer must determine the most appropriate formats as well as select the trainees and decide on the methods to be used for the final programme evaluation. It is important for the trainer to be knowledgeable on learning principles to assists him to effectively design the training programme.

Choose Training Methods

The trainers should decide on the most appropriate location for the training to be conducted i.e. whether the trainees are taught relevant knowledge, skills and abilities in their actual workplace (on-the-job), or at a location other than the real job site (off-the-job). The trainer should take cognizance of both the advantages and disadvantages of each approach (Singer 1990, p.179).

Evaluate training results

Singer (1990, p.193) argues that understanding the learning principles and designing appropriate training programmes is only of value when trainees acquire knowledge, skills and abilities which they can pass on to their actual jobs. Singer further states that after the training has been conducted, trainers should expend a significant effort determining how effectively the training goals were met. He argues that those programmes which fail to reach their goals should be eliminated and those which are a success should be retained.

Singer (1990, p.193) recommends that to simplify the evaluation process, the evaluation programme should be divided into to four logical steps:

- Reaction-establishing the degree to which the trainees enjoyed the programme through the use of reaction forms;
- Learning-establishing whether the training material which has been taught, has been learned. Appropriate measures should be developed to measure the amount of learning that has taken place during training;

- Behaviour-establishing whether what has been learnt in the training process has been transferred into practice. Before and after measure should be used to evaluate behavior; and
- Results-establishing the overall impact that training has had on the organisation.

Singer (1990, p.195) is of the belief that organisations which conduct reasonably comprehensive training evaluation rarely progress beyond the learning stage. He further argues that failure to evaluate behaviour and results may leave significant doubt as to whether the training programme achieved its intended goals of facilitating transfer of the training to the work situation, with a positive contribution to the functioning of the organisation.

It is clear that Singer views the evaluation the same way as training practitioners, that being to establish through the evaluation process the training programme's effectiveness.

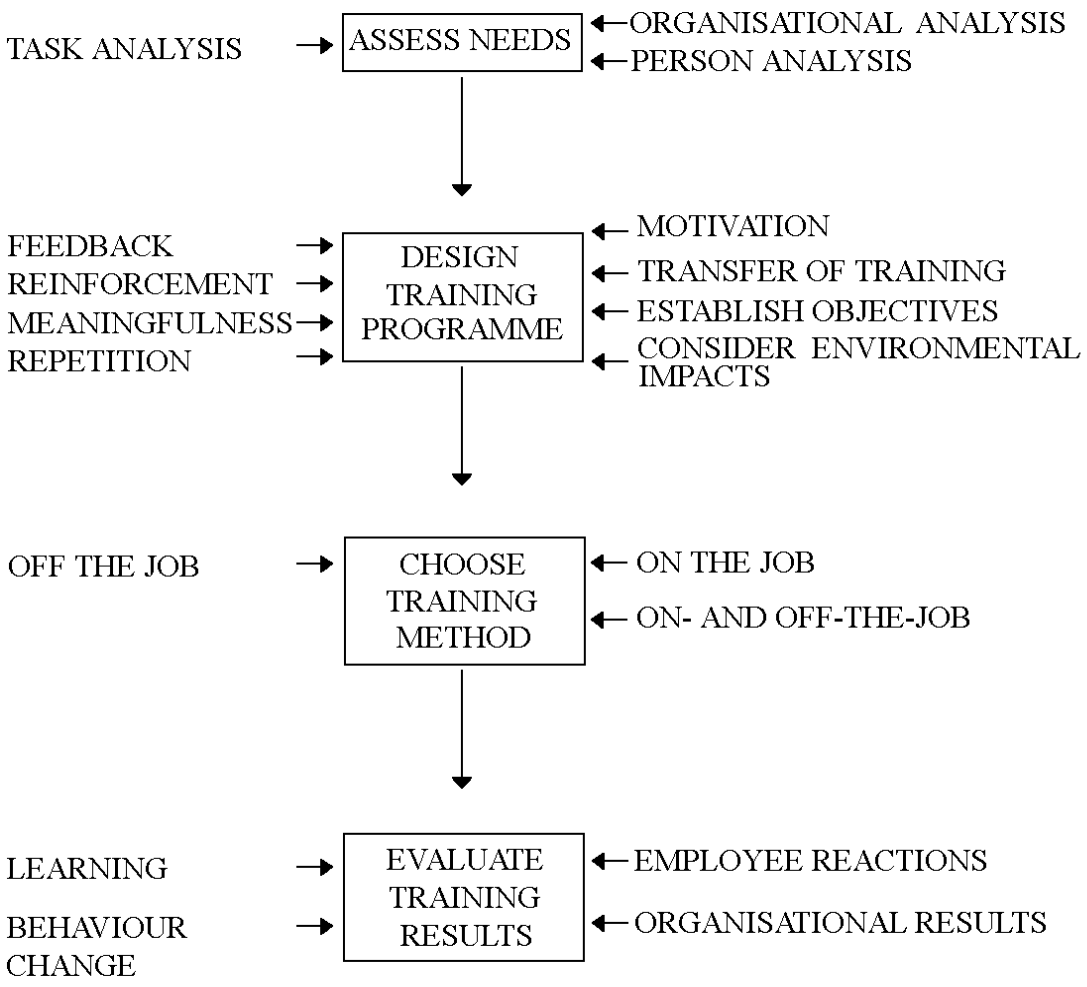


Figure 3.6: Singer's Four Phase Model

Source: Phillips (1991, p.174)

The next section presents a discussion on Phillips' results-oriented human resources development model.

3.6.7 Phillips' Result Oriented Human Resources Development Model

Phllips (1991, p.63) developed an eighteen step result-oriented human resources development model. These steps are indicated below:

1. Conduct needs analysis and develop tentative objectives
2. Identify purpose of evaluation
3. Establish baseline data
4. Select evaluation method/design
5. Determine evaluation strategy
6 Finalise programme objectives
7. Estimate programme costs/benefits
8. Prepare and present proposal
9. Design evaluation instruments
10. Determine and develop programme content
11. Design or select training and development
12. Test programme and make revisions
13. Implement and conduct programme
14. Collect data at proper stage
15. Analyse and interpret data
16. Make programme adjustments
17. Calculate return on investment
18. Communicate programme results

Figure: 3.7 Phillip's Results Oriented Human Resources Development Model

Source: Phillips (1991, p.63)

Below is brief description of the various activities related to each step:

Step 1: Conduct a needs analysis and development

The first part of this step involves the conducting of a needs analysis in order to determine specific deficiencies in performance or lack of information necessary for the job. Phillips (1991, p.64) states that a needs analysis is conducted by interviews with potential trainees or their superiors or by administering attitude surveys and questionnaires.

The needs analysis should reveal information to develop tentative programme objectives which will be finalised in step six.

Step 2: Identify the purpose of evaluation

Phillips (1991) as cited by Berry (1995, p.32), maintains that before the trainer commences with any programme development he should determine the purpose of evaluation in order to establish what baseline data should be collected and the evaluation of methods to be used.

Step 3: Establish baseline data

Before any evaluative comparisons can be made, data needs to be collected prior to the programme and after its comparison. By collecting data such as the number of grievances in the past six months, the trainer is able to answer basic questions on what to evaluate. Phillips (1991, p.66), maintains that by establishing the baseline data after the needs analysis, the trainer is able to focus more clearly on what change the programme should bring about.

Step 4: Select evaluation method/ design

Phillips (1991, p.67) is of the opinion that this step of selecting the evaluation method and design should precede the step of finalising of programme objectives as the selection of evaluation methods may influence the objectives established for the programme. Phillips (1991, p.67) states that “it is useless to set objectives in an area for which there is no way of gathering information - if methods of gathering information are finalised first, then the objectives are tailored to those methods”.

Step 5: Determine evaluation strategy

According to Phillips (1991, p.68), in this step, answers must be provided for the following questions who, where, and when as they relate to the evaluation. Some of the questions to be answered include the following:

- Who will conduct the evaluation?
- Who will analyse the data?
- Where will evaluations occur? in the training room, on the job or a combination of both?
- When will evaluation be conducted?
  During the course (reaction and learning)
  At the end of the course (reaction and learning)
  On the job (behaviour change)
  At a specific follow-up date (results achieved by the individual or group).

Step 6: Finalise programme objectives

Phillips (1991, p.68) states that it is important for the trainer to finalise the programme objectives before getting into the next stage of the evaluation

process. Phillips argues that failure on the part of the trainer to observe this step may lead to an inappropriate selection of the evaluation method and subsequently the evaluation strategy.

Step 7: Estimate programme costs/benefits

Phillips (1991, p.70) states that this step should be undertaken before any programme development work commences, in order to determine whether or not to proceed with the programme.

Berry (1995, p. 33) states that a comparison between the cost for developing and conducting a training programme against the potential benefits to be derived from this particular programme have to be made to determine cost/benefits. The anticipated return on investment can then be calculated.

Once this step is undertaken, the trainer can then move to the next step of preparing and presenting a proposal to management regarding the implementation of the programme.

Step 8: Prepare and present proposal

The proposal presented to management should be presented in a formal and professional manner and should focus on the information collected (Phillips 1991, p.71). Phillips further provides a useful action checklist that can be used when preparing a proposal for a significant training project. Some of the items which he includes in the checklist are the following:

- Determine the best timing to present the proposal after those concerned have concurred with the proposal;
- Understand the numbers in the financial justification section of the proposal;

- Present the proposed implementation schedule for the programme with estimated completion dates; and
- Ask for approval to proceed with the programme.

Step 9: Design the evaluation instruments

In this step the trainer will design or select, specific instrument to be used in the evaluation process. Phillips (1991, p.72) proposes that the instruments should be statistically reliable and easy to use and should be designed before the programme is developed, since some additional information might be uncovered that may alter the course development and course content.

Step 10: Determine and develop programme content

Phillips (1991, p.72) recommends that the programme content be determined by subject matter experts who decide what trainees need to know (principles, facts and skills) to meet programme objectives or the trainer may rely on previous or similar programmes conducted with other groups in his own and other organisations.

Phillips (1991, p.72) believes that if the training programme is result-oriented, material that is “nice to know”, but not related to programme objectives, should be omitted. By systematically completing the previous step in the model, the trainer will be able to focus on those areas that will produce the desired results.

Step 11: Design or select Training and Development Methods

Phillips (1991, p.72) suggests that the choice of the appropriate method will depend on the following factors:

- Budget constraints;
- Resources available;
- Programme objectives;
- Time frame;
- Ability of participants;
- Ability of programme developers;
- Ability of instructors; and
- Location of training.

Berry (1995, p.35) states that the trainer needs to design or select the most appropriate methods for presenting the programme. Some examples of the methods that can be used are the following:

Presentation-discussion (including lectures and listening and questioning)

- Case studies;
- Role plays; and
- Programmed instruction.

Step 12: Test programme and make revision

Phillips (1991, p.74) recommends that the trainer conducts a pilot test of the programme particularly if the programme is to be repeated with many participants. This step provides an opportunity for the trainer to test and adjust if necessary some of the evaluation methods such as the pre-programmed evaluations, participants reactions and behaviour simulations.

Phillips (1991, p.74) makes the important point that a well-planned pilot programme can take months of analysis, interviews and programme development payoff and by taking the appropriate steps before, during and after the pilot, the odds can be turned in favour of a flawless, fail –safe

pilot programme, while at the same time finding an opportunity to analyse the strengths and weaknesses of the programme.

Step 13: Implement or conduct the programme

Phillips (1991, p.74) believes that the trainer should make the trainees aware of what results are expected, as communicating expectations to them can influence the results achieved.

Step 14: Collect data at a proper stage

Phillips (1991. p.75) emphasises the importance of establishing a schedule for collecting data for evaluation purposes at the right time and adhering to the schedule to ensure that evaluation data are collected at the proper time intervals.

Step 15: Analyse and interpret data

This step involves the analysis of data and the interpretation of those data. Phillips (1991, p.75) states that during this step, responses to questionnaires should be tabulated and prepared for the presentation and the variances should be analysed, making use of three general groups of the statistical analysis that are useful for analysing evaluation data viz: measures of central tendency; measures of dispersion; and measures of association.

Step 16: Make programme adjustments

Out of the information collected from the anaysis it may be necessary to make changes to the programme. If it is established that the programme produced no results, or that certain parts of the programme were not

effective, the programme may need to be adjusted, cancelled or re-designed in those areas which according to the evaluation were not effective (Phillips 1991, p.76).

Step 17: Calculate return on investment (ROI)

Phillips (1991, p.76) suggests that if the trainer plans an economic justification of the programme, he should consider using the following basic return on investment (ROI) formula:

$$\text{Rate of return} = \frac{\text{Financial value of results}}{\text{Programme cost}}$$

Step 18: Communicate programme results

This step involves the communication of programme results to the following stakeholders:

- The staff of the human resources department, who may require the information to make the necessary improvements to the programme;
- Management, who must be make decision regarding the future of the programme; and
- The participants,who need to know how well they did in the programme and see their performance compared to others?.

The last step in the Phillips, result-oriented human resources development model, puts more emphasis on evaluating training initiatives than the actual training process. Certain features of the ashridge model best explains different approaches to training, namely: the fragmented, formalised and focused approach.

These approaches will be presented in more details in the next section.

3.6.8 The Ashridge model

The Ashridge model is concerned with the role of training and development. The model highlights the important activities within the organisation to be considered at three levels of sophistication:

- A fragmented approach;
- A formalised approach; and
- A focused approach.

THE ROLE OF TRAINING AND DEVELOPMENT

1. The fragmented approach

- Training is not linked to organisational goals
- Training is perceived as a luxury or waste of time
- Approach to training and is non-systematic
- Training is directive
- Training is carried out by trainers
- Training takes place in the training department
- Emphasis on knowledge-based courses
- The focus on training (discontinuous process) rather than development (continuous process)

2. The formalised approach

- Training becomes linked to human resources (HR) needs
- Training becomes systematic by linking it to an appraisal system
- The emphasis is still on knowledge-based courses but the focus of the courses broadens, with greater emphasis on skills- based courses
- The link which is established between training and HR needs encourages the organisation to adopt a more developmental approach
- Training is carried out by trainers, but the range of skills demands placed on a trainer develops with the new breadth of courses offered
- Line managers become involve in training and development as the appraisers
- Pre-and post-courses activities attempt to facilitate transfers of off-the-job learning
- Training is carried out off-the-job, but through the career development the value of on the-job learning gains formal recognition
- There is more concern to link a programme of individual needs

3. The focused approach

- Training and development and continuous learning by individuals is perceived as necessary for the organisational survival in a rapidly changing business Environment
- Training is regarded as a competition weapon
- Learning is linked to organisational strategy and individual goals
- The emphasis is on-the-job development so that learning becomes a totally continuous activity
- Specialists training courses are available across the knowledge /skills/value spectrum
- Self selection for training courses
- Training is generally a non-directive , unless knowledge-based
- New forms of training are utilized, e.g. open and distance learning packages, self-development programmes,etc
- More concern to measure effectiveness of raining and development
- Main responsibility of training lies with line management
- Trainers adopt a wider role
- New emphasis on learning as a process
- Tolerance of some failures as part of the learning process.

Figure 3.8 The Ashridge Model

Source: Sloman (1999, p.57)

Ashridge (1990, p.132) points out that certain features of the model describes that as the sophistication of the delivery of training and development increases, organsiations adopt a more formalised approach. Training and development become more structured and linked into the organisational process such as appraisal systems.

Sloman (1999, p.56) states that the full potential of training and development is realised in those organisations that are adopting a focused approach. Training and development are then intrinsic to the organisation and occur continuously. The emphasis moves away from formal training to personal development, driven by both the goals of the organisation and the needs of the individual (refer to figure 3.8).

Sloman (1999, p.56) adds that line managers and individuals assume the main responsibility for development, while trainers adopt wider roles as advisers, facilitators and change agents. According to Sloman (1999, p.56), organisations which achieve this level of sophistication (focused approach) are described as learning organisations, a term which will be considered in more detail under section 3.6.

From the above it could be concluded that evaluation of training and development is equally as important as any performance improvement strategy which can be used by organisations. Most importantly, training and development should partly address the performance analysis results, primarily to inform training managers on the systematic plan, design, and presentation and to evaluate the training and development programmes. In the majority of these models, emphasis is placed on the systematic approach to training and development.

The majority of the eight models discussed in this chapter clearly indicate the sequential steps to be followed if training and development are to be

effective. Most importantly, these models bring about the issues of training as a strategic tool for training managers to enhance employees' skills, knowledge and competencies. The next section presents a comprehensive model for training and development initiatives.

3.6.9 A comprehensive training and development model

The researcher is of the conviction that to effectively evaluate training and development initiatives, a systematic approach towards training must first be adopted. It serves no purpose to evaluate a training programme which is ad-hoc and unplanned, poorly delivered, and has little or no relevance for both the individual's needs and those of the organisation. A comprehensive training and development model was developed (refer 3.9) to provide the necessary guidelines on how trainers and training managers should conduct training in the organisation. The model was developed from the literature and the eight training models presented in section 3.5. The comprehensive training and development model comprises the following steps:

Phase 1 Plan for training

Planning is an important step in a training process and the most commonly ignored stage of them all. It is important for the trainer and training manger to plan ahead for the next training programme. The first step in the planning process is to collect data about the training, determine how this time around training will be delivered, who the beneficiaries, what their needs are and how the training department hopes to achieve their goal, which is to conduct a successful training programme (refer to figure 3.9).

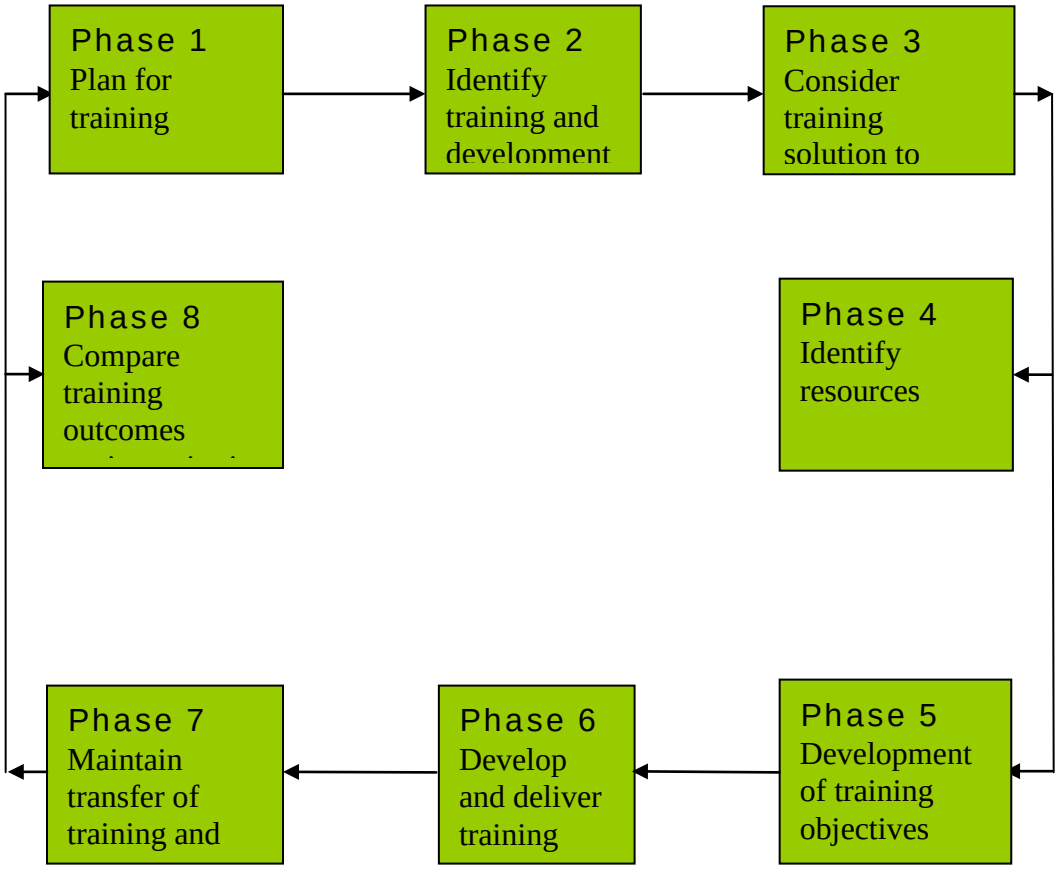


Figure 3.9 A Comprehensive Training and Development Model

Data collection and diagnosis are essential parts of determining the necessity for training. Training needs are to be developed from organisational, operational and person analysis.

Organisational analysis identifies how successful the organisation has been in achieving specified goals. Short-term goals will indicate whether needs are reactive or remedial. Long-term goals produce preventative pro-active or developmental pro-active needs.

At the operational or task level, an analysis will identify the performance or skills required to achieve the required organisational goals. A person analysis determines the strengths and weaknesses of the current workforce. It also identifies performance problems which may have occurred as a result of the performance requirements specified in the operational analysis.

Phase 2 Identify support for and the constraints against the transfer of training

At this stage probable opportunities for successful performance and causes of performance problems should be examined. The repertoire of managerial and organisation, trainer's and trainees' pre-training strategies which will enhance training should be identified. Information flow, work procedures, equipment, reward systems or workplace learning systems which support the desired performance must also be considered.

Phase 3 Consider training as a solution of performance problem/opportunities

It is essential to determine whether a job aid could replace some or all of the training before taking decisions to proceed with training as a solution to a performance problem or opportunity.

Phase 4 Identify resources

Once the decision has been taken to proceed with training, available resources must be identified. These considerations must include the following:

- The time available to solve the performance deficiency;
- Budget limitations;

- Qualification of trainers; and
- Facilities, training materials and equipment.

The success or failure of training programmes depends on the availability of resources which ensure that effective training takes place. If training is embarked upon without taking into consideration the availability of resources, the consequences in wasted time and money could be disastrous for the organisation.

Phase 5 Develop training objectives

Once the training needs have been identified and prioritised, programme objectives should be established. These objectives should spell out what the organisation or the trainer wants to achieve with the training. These training objectives form the basis of training standards and the evaluation of training. The objectives should also be specific in terms of terminal behaviours trainees should display at the end of the training programme. Each objective must describe a specific behavioural action. It must indicate the standard of performance required, expressed in terms of number, degree and accuracy.

Phase 6 Design and deliver training

The amount of learning which must be absorbed to produce new behaviour is used to develop the curriculum. Resources which have been identified are allocated and training methods based of specific objectives are selected.

Having established the training and development objectives, the trainer needs to plan and design the programme. Decisions need to be taken on the best approach to be used for presenting the programme. The

development of all the knowledge, skills and attitudes cannot be dealt with in one training session. The programme therefore, needs to be divided into a number of different modules or meaningful units which need not be of the same duration, but should form a coherent whole.

When the programme has been planned and designed the trainer is in a position to present the programme. The trainer needs to ensure that the right learning climate is created at the beginning of the programme.

Phase 7 Maintain the transfer of training and development

The transfer of training must be ensured through the design and delivery of the training programme. The role of the manager, trainer and trainee during training, must be determined in order to eliminate barriers and encourage support for effective training to take place.

Phase 8 Compare training and development outcomes against criteria

Descriptive and evaluative feedback provides an indication of how successful the training has been. The evaluation should be built into the phases of the programme from the initial identification of the training needs to the maintenance of the training. Evaluation should not be viewed as an action which must be undertaken by the trainer at the completion of the course, but rather viewed in relation to the evaluation of the course content prior to presenting the programme, a continual evaluation of the presentation and progress of the programme and the comparison of the final results of the programme with a set of criteria. Once the evaluation has been conducted, it is necessary to decide who should be given feedback on the evaluation information. This information should not be filed away for future use. Continuous improvements also need to be made

to the programme, based on the information/data obtained from the evaluations.

It can be concluded that for training and development to be effective, the organisation should become a learning organisation, whereby learning is encouraged by all stake holders from individual employees to management. It is therefore imperative, for management to implement and proper learning processes in the organisation.

Training and development are strategies used by modern organisations aimed at enhancing individual, teams, and organisational performance. For training to have an impact on organisational performance, a conducive learning environment must prevail. It is not enough for organisations to spend millions on training and development initiatives without first creating an atmosphere for learning. The organisation must first become a learning organisation for it to flourish and benefit immensely from investing in its people.

3.7 CONCLUSION

The main objective of this research study is to evaluate the effectiveness of training and development initiatives in the Botswana public service sector. The preliminary step in achieving this objective was to carry out a literature review in order to identify critical organisational factors which affect training and development. These factors include the following: training culture, leadership, performance management and performance appraisal, and the implementation and management of a learning organisation which were discussed in section 3.4. Various theoretical training models were analysed to determine the systematic approach to effective training and development. From the literature and theoretical models, a comprehensive training and development model was developed

as depicted by figure 3.9.

In the following chapter, the evaluation process will be considered in terms of issues affecting the evaluation process, approaches and measures to be used for effectively evaluating training and development. The chapter will conclude with evaluating training and development through the implementation of a performance management system.

CHAPTER 4

EVALUATING TRAINING AND DEVELOPMENT

4.1 INTRODUCTION

From discussions in chapters two and three, it could be concluded that effective training and development play a critical role in ensuring that the strategic objectives of the organisation are achieved. The main objective of this study was to develop a model for the evaluation of training and development initiatives to be used by the Botswana public service. This objective was pursued by examining the past reform programmes and by undertaking a literature review to identify how training and development should be approached, from the training manager, trainer and trainee's perspectives.

This chapter will cover a comprehensive discussion on the evaluation of training and development with a view to establishing the best approach to the effective evaluation of training and development. The evaluation strategies discussed in this chapter formed the basis for the design of the questionnaire used to establish the extent to which training co-ordinators, managers and trainers employed in the Botswana public service agreed or disagreed that the training evaluation strategies identified in the literature review would be effective in evaluating training and development initiatives in their organisation. The results of the survey were integrated with a model to develop an integrated model for evaluating training and development initiatives in the Botswana public service sector (refer figure 4.4).

Evaluation is an integral part of most instructional design models. Evaluation tools and methodologies help determine the effectiveness of instructional interventions. Despite its importance, there is evidence that evaluation of training and development initiatives are often inconsistent or missing (Eseryl 2002, p.1). Possible explanations for inadequate evaluations include: insufficient budget allocated; insufficient time allocated; lack of expertise; blind trust in training solutions; or lack of methods and tools (Eseryel 2002, p.1).

According to Eseryl (2002, p.3), part of the explanation may be that the task of evaluation is complex in itself. Evaluating training initiatives with regard to their learning, transfer, and organisational impact involves a number of complex factors. These complex factors are associated with the dynamic and on-going interactions of the various dimensions and attributes of an organisation and training goals, trainees, training institutions, and instructional technologies.

4.2 DEFINITION OF EVALUATION

Various definitions of evaluation can be found in the literature, many of them stipulative, and the inconsistencies in the use of the terminology cause confusion in training evaluation, affecting the success of evaluation efforts.

A review of the literature on training and development was conducted to identify methods employed in effective training programmes. According to Berry (1995, p.54), having knowledge and understanding of learning principles, designing and conducting training sessions is important so that trainees are able to transfer the learnt material to their job situation. He further notes that after training has been conducted, it is worthwhile for the organisation to determine how effective the training goals were.

Brown and Seidner (1998, p.57) define evaluation as a disciplined inquiry to gather facts and other evidence that will allow an evaluator to make assertions about the quality, effectiveness, or value of a programme, a set of materials or some other object of evaluation in order to support decision making.

Holli and Calabrese (1998, p.60) define evaluation as a comparison of an observed value or quality with a standard or criterion of comparison. Evaluation is the process of forming value judgements about the quality of programmes, products, and goals.

Wilson (2005, p.409) defines evaluation as a structured analysis of learning, training and development, by stakeholders. The evaluation could be of an event, process or outcome. The stakeholders could include learners, employers, designers, trainers, managers, owners, consultants or researchers.

Combs and Falletta (2000, p.143) define evaluation as the systematic process of gathering and analysing data and other objective human performance-improvement processes and outcomes within the context of a business or organisational setting to determine the quality, value and effectiveness of the intervention.

It can be concluded that evaluation is the application of systematic methods to periodically and objectively assess the effectiveness of programmes in achieving expected results, as well as their impacts, both intended and unintended, and also continued relevant and alternative or more cost-effective ways of achieving the expected results.

The definitions of evaluation have been discussed. It is therefore appropriate; to define the purpose for evaluating training and development

initiatives. It is important to be clear from the onset as to what the purpose of evaluation is.

4.3 PURPOSE FOR EVALUATING TRAINING AND DEVELOPMENT

The purposes of training and development are rather broad and are determine by the primary focus of the kind of training and development initiative. Foxon and Lybrand (2005, p. 4), concurs there is lack of agreed-on definitions of evaluation and therefore there are an equally broad range of opinions on the purpose of evaluation.

Foxon and Lybrand (2005, p.4) observe that more than 20 per cent of the writers neither describe nor imply a purpose for evaluation. Where purposes are outlined, they provide some telling insights. For example, 15 per cent see the purpose for evaluation as justifying the training department's existence and providing evidence of any cost benefit to the organisation. The majority of these articles surfaced in the period 1980-83, and clearly reflects the preoccupation of many practitioners with keeping their jobs during the economic downturn and resulted in human resources development budgets being cut (Foxon & Lybrand 2005, p.4).

While a mere 2 per cent consider assessing trainees' reactions to be the purpose of evaluation, and 50 per cent see the purpose of judging the quality and worth of the training and development programme in order to effect improvements and/ or identify the benefit of training, it should be remembered that studies already referred to provide evidence that many trainers are not evaluating beyond the level of the trainee reaction. What trainers believe should be done and what they do in reality differ remarkably. Despite the regular reference in the literature to Kirkpatrick's four-stage model which highlights the following stages, (reaction, learning,

behaviour and results), only a small percentage consider the purpose of evaluation specifically in these terms (Foxon & Lybrand 2005, p.5).

Evaluation goals involve multiple purposes at different levels. These purposes include student learning, instructional material, transfer of training, and return on investment. Attaining these multiple purposes may require the collaboration of different people in different parts of the organisation.

4.3.1 Feedback

Bramley (1991, p.87) brings in a different dimension to the purpose for evaluating training. He further states that the common view of evaluation is that it completes the training cycle. The purpose for evaluation is therefore integral to the cycle and has a key role in the quality control of the cycle by providing feedback on:

- Effectiveness of the methods being used;
- The achievement of the objectives set by both trainers and trainees; and
- Whether the needs originally identified, both at organisational and individual levels, have been met.

Bramley (1991, p.88) identifies five purposes for evaluating training and development, namely: feedback, control, research, intervention and power games.

Feedback provides quality control over the design and delivery of training and development activities. Feedback to trainees is critical for imparting a learning process during training and development. Timely feedback to participants on the effectiveness of particular methods and on the

achievements of objectives set for the programme will help in the development of the programme currently being run and those planned for future occasions. Information which needs to be collected for feedback evaluation is:

- The extent to which the objectives are being or have been met;
- Before and after measures of levels of knowledge, concepts used, skills, attitudes and behaviour;
- Sufficient detail about content to be able to estimate the effectiveness of each topic;
- Evidence of transfer of learning back to the workplace; and
- Some identification of those for whom the programme was of most and least benefit so that the target population can be more closely defined.

Bramley (1991, p.88) concludes by noting that the main purpose of feedback evaluation is the development of learning situations and training programmes to improve what is being offered. The secondary aspect in identifying is what is good and what is not so good in improving the professional ability of members of a training department. Reports based on feedback evaluation tend to have conclusions in them which the training department can consider and act upon (or not act on) as appropriate.

Evaluation cannot be conducted without guidelines and procedures to help the trainer confine themselves within the context of the process without interference.

4.3.2 Control

Control measures for the evaluation are crucial and the organisation must ensure that policies on the evaluation of training and development are in place before they begin the evaluation.

Control evaluation relates training policy and practice to organisational goals. There could also be concern for the value added to the organisation of the contribution and costs of the training function. Control evaluation may be the answer to such questions as: Will the main focus on training give a better solution to the problem than re-structuring the department or re-designing some of the jobs? The information required for control evaluation is therefore:

- That which is required for feedback;
- Some measures of the worth of the output of the training to the organisation;
- Some measures of costs; and
- Some attempts at a comparative study with different combinations of methods for tackling the problem (Bramley 1991, p.88).

It can therefore be concluded, that control evaluation is something that an organisation might require of a training manager or might impose through the creation of a group which is responsible for evaluating, but is not part of the training function in an evaluation cell. Training evaluation may be carried out for research purposes.

4.3.3 Research

This evaluation seeks to add to knowledge of training principles and practice in a way which will have more general application than feedback evaluation. Studies of ways in which people learn or studies of factors which facilitate transfer would be examples. Research evaluation can also serve to improve the techniques available for other purposes like feedback, control and intervention.

Bramley (1991, p.89) states that research evaluation is particularly concerned with two types of validity. Internal validity may be described as the extent to which particular conclusions may be drawn from the data. The data should be derived from a carefully controlled situation with good experimental design so that alternative explanations cannot be ruled out. External validity is defined as the extent to which the conclusions that are drawn from the experimental situation may be generally applicable to other situations. Research evaluation into training and development within organisations is particularly difficult due to few opportunities to set up well-designed projects with true control groups and adequate time for a series of observations.

4.3.4 Interventions

Training evaluation can be used for internal communication between all stakeholders such as trainers, trainees, and managers.

Bramley (1991, p.89) states that it is an illusion to believe that the process of evaluation is able to provide some objective measuring instrument that is independent of the programme being evaluated. The evaluation will almost inevitably affect the way in which the programme is viewed and can be used to redefine the sharing of responsibility for the learning

between the trainers, trainees and employing managers. Planned intervention through evaluation can:

- Involve the line manager in pre- and post- measurement;
- Involve the line manager in the extension of training after the event by debriefing and helping with the implementation of the action plan;
- Change the way in which the employing managers select and brief people before the learning event; and
- Cause the training department to rethink the deployment of trainers to the functions within the organisation and to strengthen the liaison role (Bramley 1991, p.89).

Training evaluating may be used for power games.

4.3.5 Power games

The use of information as a power game is common in some organisations where by evaluation, information is used as bargaining chip in certain instances.

Bramley (1991, p.90) explains that all information is powerful but certainly evaluative information about training and development events can be used within the organisation in a political way. As it is probably not possible to avoid these power games, perhaps it is not desirable to aim to do so. It does however, place responsibility on the evaluator to make sure that the evidence which is being used is based on a sound study. It can be concluded that the purpose of training evaluation differs according to the type of training delivered and the organisational politics.

4.4 STRATEGIES FOR EVALUATING TRAINING AND DEVELOPMENT

There is ample evidence that evaluation continues to be one of the most vexing problems facing the training fraternity. Catanello and Kirkpatrick's 1968 survey of 110 industrial organisations evaluating training (Burgoyne and Cooper 1975, p. 60) revealed that very few were assessing anything other than trainee reactions.

This section will cover strategies for evaluating training and development, as well as various approaches to the evaluation of training and development. Also covered in this section is the need for evaluating training and development, evaluating changes due to training and development and lastly, evaluating training and development through the implementation of a performance management system.

Wigley (1988, p.13) describes a "production approach" to training in which evaluation activities are seen as being isolated from the training itself. In this approach evaluation is focused on statistics that describe the number of training days per year, the number of courses per year and the number of trainees attending each course, among other things. Whilst these statistics are useful in providing data about how popular the programmes offered by the training department are, they have little effect in showing whether the training department is fulfilling any useful purpose for the organisation.

Having knowledge of and understanding learning principles, designing and conducting training sessions is only relevant when trainees learn material that they can subsequently transfer to their actual jobs. After training has been conducted, it would seem only natural that organisations would devote significant effort determining how effective training has been i.e.

have training goals been met? (Berry 1995, p.54). This discussion leads to an important question, why evaluate training and development?

4.4.1 The need for evaluating training and development

Other than determining the effectiveness of the training and development initiative, why is there a need for evaluating training and development? Most importantly, before answering the question of why evaluate training and development, it would be appropriate to consider possible reasons why systematic evaluation of training and development is not carried out in organisations.

There is a strong belief amongst trainers and those involved with training that most of the training they conduct are once-off programmes and therefore why bother to evaluate such programmes. Berry (1995, p.56) states that one of the reasons why training evaluation is neglected by the trainers is because many academic analysts have been strong on telling trainers that evaluation should be conducted but they have offered trainers limited practical guidance and few examples which show trainers how the evaluation ought to be conducted. He further states that academic researchers create the impression that evaluation must be conducted in laboratory-like conditions of experimental control and that such rigour is unattainable and practitioners tend therefore to conclude that evaluation is impossible.

It is possible that training evaluations are not conducted because of the fear amongst trainers who, like most job incumbents, tend to avoid performance appraisal unless a positive outcome is guaranteed, hence the popularity amongst trainers of end-of-course reaction forms (or “happy sheets”). Evaluation also makes it possible to question training

programmes that have been allowed to continue for many years (and often at great cost) unchecked (Berry 1995, p.56).

Simmonds (2003, p.168) identifies some of the reasons given by the trainer for not evaluating their training efforts:

- Are training efforts cannot be measured;
- What information can be collected;
- When calculating return on investment, is it valiable to evaluate the training programme;
- Measurement is only effective in the production and financial departments;
- Chief officer (CEO) does not require evaluation, so why should I do it;
- There are too many variables affecting any behaviour change for to evaluate the impact;
- Evaluation will lead to criticisms;
- Measuring progress toward achievement of objectives is an adequate evaluation strategy; and
- Evaluation will be costly.

Berry (1995, p.57) acknowledges that although the reasons for and theory of evaluation are convincing and sound, there is enough evidence in the literature that, in practice the actual evaluation of training is not normally done.

Now that arguments and reasons have been advanced against the evaluation of training and development, it will only be proper to explore the reasons for training evaluation.

There are numerous reasons for training evaluation efforts. Berry (1995, p.58) states that, there are few arguments against the fact that training and development of whatever nature needs to be evaluated. Training and development without evaluation is like manufacturing goods without keeping production figures.

Somolekae (2005, p.123) argues that if management invests in training and development for employees, it unconditionally expects to see results from the initiative. When a training director approaches top management for approval for a new training and development activity, the question can reasonably be posed as to what good the course will bring and why the company should invest such a sum of money in it.

According to Somolekae (2005, p.124), the other school of thought is that there is a direct connection between failure to evaluate training, the low standing of the training function in many organisations, and the inadequate support training is given in many organisations. She further stresses that the credibility of training and development is influenced when it can be demonstrated that the organisation has benefited immensely (tangibly).

Mangori (2001, p.45) is of the view that the idea of a training department as a passive provider of a menu of course has become obsolete. A new approach is needed which the concept of training as a management function that contributes to the growth and development of the organisation and its training departments is required in order to give evidence of their effectiveness. This evidence has usually been established by the reputation of the trainers, the training manager, or repeat business and not by the indices of changed participants' behaviour or increases in organisational effectiveness.

Mangori (2001, p.51) further explains that to demonstrate the importance of training and development, trainers must not only conduct excellent programmes, but must also prove the programmes by their results, improved performance, more efficient use of resources and satisfactory returns on the training rands invested.

Zara (2005, p.411) beliefs that the main objective for evaluating training and development in any organisation should be to measure the extent to which training and development programmes and processes achieve the purpose for which they were intended, i.e. the organisation learns, whether personal and impressionistic or systematic and comparatively objective. In other words, the purpose of training and development is to ensure that the organisation workforce has the skills and knowledge which are necessary to achieve its strategic business objectives

Marsden (2005, p.16) confesses that evaluation is given a low priority in the instructional process, a content that is supported by the small number of articles in the literature that deal with it. However, in the current economic environment and in the light of the Training Guarantee, training personnel are going to be faced with hard economic decisions about the viability and value of the programmes they offer. Marsden (2005, p.16) maintains that training personnel are going to need evidence of the quality of their programmes in order to make such decisions and to influence the decisions of organisational management. He believes that this evidence can only come about through evaluation. Thus, evaluation must be given a high priority and must be fully incorporated into the instructional development process. Marsden (2005, p.17) believes that in order for this to happen the meaning of evaluation must be clarified and its purpose(s) must be clearly identified.

Training and development must be evaluated to determine whether the main objective has been achieved. Only then will training and development initiatives in organisations become justifiable and the training function become a genuine part of the organisation. Operating divisions take extra miles to measure their actual results against the agreed objectives. The question that comes to mind is why training should be treated differently from other departments when dealing with the issue of evaluation (Marsden 2005, p.21).

Mangori (2001, p.52) acknowledges that there could be arguments for the opposite of the above statement in that some of the trainers may argue that training is more difficult to evaluate taking into consideration the many non-tangibles involved, as well as on- the-job training that can skew the results. However, this does not mean training and development cannot be evaluated.

In order to determine which method should be used for evaluating the training and development effort, the trainer needs to obtain answers to the following questions:

- Who wants evaluation information?
- What measure should be used to determine training effectiveness? and
- How should a training evaluation study be designed?

This study will now attempt to answer these questions by identifying the different stakeholders who require evaluation information.

4.4.2 Who requires training evaluation information?

Berry (1995, p.60) points out that several people or groups of people need the evaluation information for different purposes and reasons whenever training occurs in the organisation. They include the following.

4.4.2.1 Trainees

Trainees need information on what and how much they have learned and benefited from the training and how they will improve in their work as a result. They also want to know how their perceptions and reactions to the training compare with those of their peers. They may be eager to pick up on the group's norm, which will influence whether they accept or reject what they were taught (Berry 1995, p.61).

4.4.2.2 Trainers

Berry (1995, p.61) states that those who want evaluation information are the trainers. The information is important because it is through this information that they can improve their own performance. The feedback is required specifically to determine what they did or failed to do that trainees liked or disliked, and enjoyed or did not enjoy, as well as the extent they stimulated their trainees' enthusiasm and their learning of material presented. They would want to know which aspects of the training programme the trainees found difficult to grasp and which aspects were easy. Lastly, trainers want to know which training method, examples and exercises were most stimulating and productive in causing learning to take place.

4.4.2.3 Training directors

A third group that requires evaluation information are the training directors or programme co-ordinators in an organisation. They require the same information required by the trainers for an advisory role and as future programme presenters, what will or will not be effective. They also want the information to evaluate trainers' performance and also to know which aspects of the training proved to be benefiting the trainees and which were of little or no value (Berry 1995, p.62).

Phillips (1991, p.19) states that a new and persistent trend is that though measurement is the requirement from chief executives that human resources development should show some evidence of impact.

4.4.2.4 Training managers

Berry (1995, p.62) is of the view that as the managers have supported the training programme by giving the trainee time off to attend the course and by providing funds for the course, they obviously want to know the extent to which their subordinates have developed and in what ways their departments will be more effective as a result of the training.

There is a notion that, in an uncertain economic climate, fewer resources will be allocated by the chief executives to support training programmes without evaluation. The training and development functions must be able to justify, with concrete evidence, that programmes are actually effective. The most preferred evaluation method is a multi-evaluation method that provides accurate measures of programme effectiveness that will assist in the cost justification of training efforts (Berry 1995, p.62).

The chief executive will want to know to what extent the training function is making a contribution to the overall effectiveness of the organisation. Chief executives will also want to know to what extent individuals have become enriched by the training experience and whether they have become more committed to the organisation and their own personal development. Having established who requires evaluation information, it is important to consider different types of evaluation and their characteristics.

It can therefore be concluded, that not only those directly involved with training require evaluation information, but the rest of management as well.

4.4.3 Types of evaluation

Erasmus, Loedolff, Mda and Nel (2006, p.221) identify two main distinguishable types of training evaluation, namely: process and outcome evaluation.

Process evaluation deals with what occurred during the development and implementation phase of training. Outcome evaluation focuses on the effects of the training of trainees and their performance as well as the effects of training on the organisation (Berry 1995, p.63).

4.4.3.1 Process evaluation

As previously stated, process evaluation involves the assessment of what occurred during the development and implementation of training. Berry (1995, p.63) states that the value of conducting process evaluation is that it allows the outcomes of training to be interpreted in the light of what took place during training. Process evaluation enables trainers in establishing

what accounted for the effects that training has on various levels of the organisation.

By using this evaluation method, the trainer can analyse what took place in the training process if, for example, the trainee did not display appropriate behaviour after training. The trainer can therefore, based on the evaluation, make the necessary changes to the programme. Even thought the results may be acceptable by the trainer's standard through the use of the process evaluation, a greater insight can be provided which may ultimately lead to even more desirable outcomes.

The basics methodology process of process evaluation involves the recording of what occurred during the development and training through the use of training staff logs, films, video tapes, direct observations or any other method of recording what has occurred. After obtaining the recorded activities and procedures that took place, the trainer can thereafter compare what took place with the ideal model of what activities and procedures should have taken place.

Erasmus, et al. (2006, p.221) suggest that trainers should use formative evaluation to determine if the programme is operating as originally planned or if any improvements are necessary before the programme is implemented. The trainer would make use of dry and dummy runs prior to the training and revision processes, primarily using process criteria.

It is important for trainers to be clear on the purpose and objectives they want to achieve using the formative evaluation (See figure 4.4). In addition to focusing on the quality of learning materials or methods, they suggest that the following should be established:

- How the learner enjoyed the instructional materials, content or methods;
- How much the participants will learn;
- How much impact the learning material will have on the participants' job performance; and
- How much impact the planned learning experiences will have on the enterprise (Erasmus, et al. 2006, p.222).

Berry (1995, p.64) presents a set of questions that might be answered or considered in the process of evaluation:

- Were needs diagnosed correctly?
- What data sources were utilised?
- Was there a knowledge or skill deficiency?
- Was the need organisationally important?
- Were the needs transferred into objectives?
- Was the organisational need translated into an organisational objective?
- Was the overall training objective derived from the organisational objective?
- Were prerequisite learning objectives derived from the overall training objective?
- Were trainees assessed to determine the number of prerequisite learning objectives they were deficient in?
- Was the evaluation system designed to measure achievement of the objectives?
- Was the training programme designed to meet the specific learning, training and organisational objectives?
- Was there any previous learning that might support or inhibit the current learning objective identified?

- Were individual differences determined and taken into consideration?
- Was trainee motivation to learn assessed?
- Were steps taken to increase trainee motivation in the learning environment?
- Were steps taken to call attention to key learning events?
- Were steps taken to aid trainees with symbolic coding and cognitive organisation?
- Was opportunity made for symbolic practice?
- Was opportunity made for behavioural practice?
- Was feedback available after practice?
- What steps were taken to facilitate positive transfer of learning back to the job?
- Was there a match between the trainer characteristics, training techniques, and learning objectives?
- Were trainer characteristics assessed?
- Were training techniques likely to achieve the learning objectives?
- What alternative training techniques were examined and why were they rejected?
- Were the trainer's lesson plans designed to capitalise on his or her strengths and weaknesses?
- Was the trainer able to follow his or her lesson plan?

The above questions can be used to evaluate the training process during the development and implementation stages of training and development.

Erasmus, et al. (2006, p.222) note that the important aspect about process evaluation is to control learning performance and to remedy learning errors. Process evaluation should be meaningful to the learner and must be continually applied.

4.4.3.2 Outcome evaluation

Goldstein (1991) as cited by Berry (1995, p.66), states that trainers use the summative evaluation to evaluate the final product with more emphasis being on programme appraisal using the outcome criteria. From the literature the Kirkpatrick four-level evaluation model is the most well-known framework for classifying areas of evaluation. Various authors recommend this model when evaluating training and development outcomes.

According to Kirkpatrick (1998, p.42), the first level is reaction, and it is defined as how well the trainees liked the training programme. The second measurement level, learning, is designated as the determination of what knowledge, attitudes, and skills were learned in the training. The third measurement is defined as behaviour. Behaviour outlines the relationship of learning (the previous measurement level) to the actualisation of doing. Kirkpatrick recognised a big difference between knowing principles and techniques and using those principles and techniques on the job.

Having looked at different types of evaluation, the next stage is to investigate different techniques used to effectively evaluate training and development with a view to their impact on the bottom line of the organisation.

4.4.4 Techniques for evaluating training and development

Goldstein and Ford (1998, p.178) and Wynne and Clutterbuck (1994, p.231) reckon that managers and trainers must be introduced to different types of evaluation techniques which they can use to assess the effectiveness of training and development initiatives in the organisation. It is important to see evaluation as an integral part of the training cycle. Evaluation may appear to be the final phase/stage of the training cycle, but consideration should be given to each stage. It is also important to build it in as a phase on its own in order to evaluate the total process.

The following evaluation techniques will be covered in this section and these include: interviews, pre-test/post-test, questionnaires and surveys, observations, documents, simulations, action plans, tracking charts and gap analysis.

4.4.4.1 Interviews

Holcomb (1994, p. 40) states that interviews can be formal and structured, or very informal, a “how did it go?” kind of a discussion. The main objective of the interview as the evaluation technique is to ask people about the specific training programme.

Buckley and Caple (2000, p.243) note that in a structured interview, both the trainer and the trainee get involved in a face-to face conversation structured around the checklist of prepared questions (usually a mixture of open-ended, problem-solving and closed questions, i.e. Yes/No or related answer questions) that can take place in or away from the workplace. The interview can be conducted with any individual or a small group who may have relevant information. These might include job holders, supervisors,

higher management or, in some cases, the customer may be involved as well.

The main purpose of the interviews both formal and informal, is to investigate reasons why certain units or individuals in the organisation have benefited from training or to gather information about the training programme. The great benefit of interview-based evaluation however, is that the trainer can gain a great deal of information through the use of both open and closed questions designed to probe the trainee's views on the programme and other training-related issues. These issues can cover knowledge, skill and attitude assessment both in the initial and at a later phase of the evaluation. If the approach is linked to a more quantitative approach, it can provide the trainer with a good feel for the effectiveness of the programmes delivered (Wynne and Clutterbuck 1994, p.239).

The interview evaluation technique is the most cost effective and reliable technique that can be used to evaluate training and development initiatives. Pre-test and post-test is the next evaluation technique to be discussed.

4.4.4.2 Pre-test/post-test evaluation technique

Wynne and Clutterbuck (1994, p.236) state that an ideal way of measuring learning is to measure it at the start of the programme, and then measure the same set of knowledge when the training programme is completed. It is often helpful in deciding what needs to be built on, particularly when teaching is targeted at a specific skill.

Holcomb (1994, p.44) describes the pre-test and post-test as the most common and reliable ways to evaluate training and development initiatives in an organisation. In its basic form, the evaluator simply finds out what

the trainees know or can do before training. When they finish training, trainees are expected to know more and be able to perform better. A pre-test/post-test is generally a set of written questions to determine knowledge. A similar question is given before and after, to see if the trainee has learned anything. A pre-test/post-test is also applicable to behaviour and skills, and does not need to be written. A manager could test behaviour before training commences by observing performance on the job. Counting mistakes, complaints, widgets produced before training and counting change afterwards is a pre-test/post-test method. The same method used before training could be used afterwards. Training is aimed at improving performance and a post-test is used to evaluate the improvement.

Other than the last-mentioned disadvantage, the pre-test/post-test evaluation technique is reliable and most effective. The other technique that can be used to evaluate training and development is questionnaires and surveys.

4.4.4.3 Questionnaires and surveys

Wynne and Clutterbuck (1994, p.237) are of the opinion that a systematic approach to training and development evaluation often requires the training department to follow up with people who have attended specific programmes. These authors believe that, if the objective of evaluation is to assess retention and application, the questionnaire should be designed primarily to assess the levels of skill or knowledge that the trainee has retained during the periods following the training, after six months, or twelve months, whichever period the trainer believes is right. It is important for trainees to answer the questions as honestly and openly as possible without referring to their notes or hand-outs.

Wynne and Clutterbuck (1994, p.237) state that questionnaires and surveys can be used to identify how and how well learning has been applied. What benefits trainees have gained and what opportunities they now have for increasing learning? It must be noted that considerable benefit can also be obtained from negative responses. The trainer would be keen to know what learning has not been applied and why. Is it perhaps due to the fact that the learning was not relevant, or is it because the timing was not right? On the basis of such responses, the trainer can then assess the relevance of the delivered training programme and its applicability (Wynne & Clutterbuck 1994, p.237).

As stated, these evaluation techniques are common and thus people are comfortable in completing them. The next evaluation technique is observation.

4.4.4.4 Observation

An observation is made at the job site while employees are working. It is aimed at determining how well employees are able to perform a particular task or skill. Only behaviour can be observed, not feelings or attitudes. It is therefore for the evaluator to determine what kind of behaviour he or she is looking for before conducting this type of evaluation.

Like interviews, observation can be formal or informal. The trainer can observe how behaviour has changed as a result of learning and feedback, and can reinforce this with additional feedback from trainees after a particular exercise or experience. It must be noted that the trainer cannot expect sound behaviours they observe to be repeated unless trainers provide some kind of positive reinforcement (Wynne & Clutterbuck 1994, pp.240-241). As in previously discussed techniques, observation has its own advantages and disadvantages.

Every company keeps some form of written records or documentation for future reference or as a way of evaluating training and development.

4.4.4.5 Documents/records

Marshal and Wallace (1994, p.243) state that there is a need for training documents or records to be kept for various reasons.

According to Holcomb (1994, p.59), some companies do a sterling job when it comes to documenting training information. But even poorly kept records can give the evaluator information about training needs and how to evaluate them. There are a number of documents that lead to training efforts and these include performance appraisal, profit and loss, employee grievances, and accident reports.

Marshal and Wallace (1994, p. 243) believes that performance appraisal may indicate areas where employees need improvement. If an employee is performing badly, on a performance appraisal, the company also needs to allow that particular employee to rectify his/her performance through training. Poor performance may be due to lack of skill, knowledge, behaviour or an attitude.

Profit and loss documentation often leads to training. Companies are always trying to find better ways to produce goods or services of higher quality and lower cost. This often requires technical or skill training to improve speed or to reduce errors and waste. Evaluating training is directly related to improvement in the bottom line, resulting in higher profit margins, lower costs or both (Marshal & Wallace 1994, 243).

These authors suggest that employee grievances, especially in an environment where a labour movement is militant, can cost the company time and money. Supervisory and management training is normally provided as a response to complaints about how supervisors and managers are treating employees. If grievances decrease after training, then those documents can be used to evaluate the results of training.

Marshal and Wallace (1994, p.244) note that customer complaints or response cards guide much of the training done in hotels and other service-based businesses. Customers' responses tell management how the organisation is doing and if training is needed. The practice in modern business is that customers play a critical role in providing the organisation with the necessary feedback that guides the organisation's direction.

According to Marshal and Wallace (1994, p.244), accident reports and occupational health and safety inspections lead to required employee safety training. Evaluation of these programmes varies according to the significance of the accidents. In the case of a hazardous job with the possibility of serious accidents, then safety training is required and the evaluation of results is critical.

4.4.4.6 Simulations

Simulations are exercises that trainees participate in to demonstrate the real job situation.

The simulations are planned to mimic the problems or tasks that are faced on the job. Simulations probably present the greatest diversity and variety for evaluating training and development initiatives. Many organisations have introduced different games to equip their employees to deal with certain situations.

4.4.4.7 Action plans

Action plans, commonly known as learning contracts, are developed by the participants at the end of a training programme. They are some of the commonest forms of evaluation because they follow the adult learning theory that stipulates that adults learn what they are ready to learn.

Holcomb (1994, p.70) believes that this technique allows the participants to decide exactly what changes they will make based on the things they learned during training. When adults are learning in a situation, a wide variety of maturity, experience and interests are brought into the session. People can learn valuable but different things, or they can learn the same things but apply them differently. Action plans are designed to allow participants flexibility.

The next training evaluation technique is tracking charts.

4.4.4.8 Tracking charts

Tracking charts are simply a way of keeping score, which people love to do because it gives them a way of competing.

Holcomb (1994, p.70) explains that tracking charts can be used on an individual basis to keep track of one's scores. Tracking charts can also be used for teams to keep score on each other. Keeping score is highly motivating. According to Holcomb (tracking charts were used in the 40s when time/motion studies were being done in factories to improve productivity. The development of tracking charts gained popularity when used for Total Quality Management as a way of recording changes in employees' performance. This resulted in training initiatives being designed to meet the employees' shortfalls.

Tracking charts can also be used to motivate employees. Employees are individually asked what they perceive as a fair day's work and what pay should be given for such work. The supervisor keeps track of an individual employee's day performance and gives feedback to the employee on how he or she has performed over a specific period of time and reward him or her for their performance (achievement).

A gap analysis checklist evaluation technique will be discussed in the next section.

4.4.4.9 Gap analysis checklist

A gap analysis checklist is developed by determining "what is' and "what needs to be done". It is based on individual competencies and helps trainees become competent in identified skills. Its purpose is to help trainees improve by finding out what they can do, checking if they are alright, and then training for what still needs to be improved. A Gap analysis checklist is useful especially when one needs to be certified or competent in several areas before being allowed to face the public. It is a developmental process where 100 per cent efficiency is the goal, but not immediately attainable after training.

Holcomb (1994, p.71) states that the checklist allows trainees to develop at their own pace, realising that some trainees enter a programme with more skills than others. Once they are checked off as competent in all areas on the list, attention no longer needs to be focused on that employee. Time needs to be devoted to those who need reinforcement in order to bring them up to the standard. The checklist allows the evaluator to focus on small steps in the evaluation and development of employees. Some checklists are sequenced and follow a precise progression, others

simply check off “can they or can’t they?” do something. The checklist’s goal is to have employees competent in all items on the list and then be checked off.

The gap analysis checklist appeals to managers who view training as a developmental process with small steps leading to competence. Ideally, rewards are given when trainees have successfully demonstrated their competence and completed all the items on the checklist.

It can be concluded that different training and development evaluation techniques discussed in this section provide the evaluator with different approaches to determine the value of changes that occurred during and after training.

This section covered the pros and cons for evaluating training and development initiatives in the organisational context. The next section will cover evaluation approaches that can be utilised by trainers and evaluators for the effective evaluation of training and development initiatives in the public, parastatal and private sector organisations. The thrust of the discussion is premised on the effective evaluation of training with the view to improving organisational performance.

4.4.5 Evaluating changes due to training and development

Changes due to training and development should bring about changes in knowledge, skills and behaviour at individual and group levels. At organisational level changes should occur in effectiveness and cost. This section will cover discussion on strategies that can be used to assess changes in the organisation.

Organisational change occurs at many levels and takes many forms. Consequently, development criteria by which changes can be evaluated may result in a range of indices. A good place to start is by establishing that learning has taken place at the individual level. This is one of the necessary conditions of those strategies of organisational change which focus on people. It may not be assumed, however, that individual changes will lead to a change in effectiveness and this will need to be evaluated in its own right (Bramley 1991, p.37).

In this section the researcher will discuss techniques intended to measure changes in knowledge, skills and attitudes and the criteria for evaluating an increase in effectiveness at the individual, team and organisational levels. To conclude this section an outline of some aspects in comparing the costs of training with outcomes will be presented.

4.4.5.1 Measuring changes in knowledge

All jobs require the holder to have some knowledge. It is therefore important to measure an employee's knowledge to determine their training needs.

Bramley (1991, p.37) states that the very issue of the job brings about the following questions:

- What type of knowledge is required?
- How can the knowledge be analysed?
- Is it helpful, in attempting to answer these questions, to have a framework in which to carry out the analysis?

According to Bramley (1991, p.37), the one which has proved to be useful is to describe the sort of knowledge required at three levels:

- The basic level is that of isolated pieces of information, the ability to recall simple lists or state simple rules, knowing a range of simple facts about the job area. For instance, a counter clerk at the post office would need to know what forms have to be filled in and what documents produced in order to apply for a vehicle license disc;
- A higher level is to be able to arrange many of the pieces of information into a procedure, how to do things, how to order a set of actions. For example, starting up a processing plant involves a series of actions which must be done in a certain sequence; and

- The next level is the knowledge with which to analyse any particular situation for its key elements and thus make a decision about whether procedure A is more likely to be successful than procedure D. This approach requires a skill to be able to select the most appropriate procedure or method of doing something. Taking an example of a social worker who may have to decide that a particular client's (youngster's) needs are best met by being left in the family of origin, or by being taken into foster care, or in a residential home (Bramley 1991, p.37).

According to Bramley (1991, p.37), the above-mentioned levels are a hierarchical set and it is not possible to achieve the higher levels without

knowing the lower levels. The function of training could therefore, be seen as:

- Analysing what is required at each of the three levels of satisfactory job performance;
- Discovering what trainees know at each level before they attend the training;
- Trying to close that gap; and
- Communicating to the supervisor or manager to what extent trainees are below satisfactory job performance levels at the end of training.

The three levels of knowledge have quite different implications for the training process. Isolated pieces of information can be easily transferred by lectures to large groups or by a paper-based text or by programmed packages. All these methods are relatively inexpensive. Procedures too can be learned fairly cheaply by using checklists and supervised practices.

The implications of the third (analytical) level are quite different. This can only be achieved when the trainee practises in realistic situations and makes decisions on how best to handle such situations. This is a simulation of some of the job aspects, and therefore, it will be more expensive to design and it is time consuming to practice as it would occur in a real job situation (Bramley 1991, p.40).

Bramley (1991, p.40) further observes that the implications for the sophistication of measurement of changes in knowledge are also different. It is relatively easy to test knowledge of isolated pieces of information and of procedures. This measurement can be done by using simple testing where the answer can be easily seen to be right or wrong. At the analytical level, the solutions to problems posed will often have a qualitative aspect

to them. This implies that an evaluator will have to scrutinise the solutions and decide which are acceptable and which are not. With highly developed simulations, these decisions are built in but this approach can be a costly process. For example the fight simulations which allow the practice of a wide range of emergency procedures, cost airlines a minimum of $ 50 million.

4.4.5.2 Testing knowledge

The following can be used for testing, open-ended questions, short-answer items, objective test items, multichoice questions, true or falsequestions, and gain ratios.

4.4.5.2.1 Open-ended questions

The traditional way of testing knowledge in the educational system is by the use of the essay. Questions like discussing the extent to which the triple Entente contributed to the First World War' are said to distinguish between those who know some facts about the subject and those who do not know. The question does not necessarily test the student's knowledge but how well he or she can assemble a logical argument on paper. This skill is important for success in many professions, including the jobs of lecturers who set questions, but it is unimportant in other jobs. This form of testing is inappropriate when applied in training, not because of the open-ended nature of the question, but because it is often testing an irrelevant skill (analytical approach).

4.4.5.2.2 Short-answer items

Open-ended questions can be asked to test knowledge of isolated pieces of information and procedures. Open-ended questions may be used to test

the power of analysis. These questions normally start with a verb like: state, list, calculate, label, describe (in your own words), define, determine write.

Answers to these questions are expected to be short and some indication of length should be specified. It is relatively easy to write these types of questions in order to measure the trainees' knowledge on a particular topic.

4.4.5.2.3 Objective test items

An alternative to testing is by using open-ended questions to ask the trainee to write one or two words, or to select the correct alternative from a number offered. With these objectives test items the rules for the scoring are made clear so that the answer can be recognised as being right or wrong and can be marked so by someone who knows nothing about the subject area being tested.

Bramley (1991, p.41) notes that this kind of question is suitable for testing low levels on the hierarchy but it takes some ingenuity to write them at higher levels. This has led to a belief that objective test items are only suitable for trivial scraps of knowledge, which is not necessarily true. The Open University does a lot of course assessments by using objective items, and some of these items are not testing recognition of simple facts. An example is the sort of question where the understanding of a theory is being tested by asking which set of statements is consistent with the theory.

Some of these questions are testing the ability to apply the theory in new situations, a procedure which is quite close to the 'analysis' level of knowledge. Objective test item questions have an advantage over open-

ended questions in that they take less time to answer and the test item can cover a much wider area of the topic in the same time. Objective test items are also less likely to be testing the level of literacy of the candidates. They have the disadvantage of being much more difficult to write (Bramley 1991, p.41).

4.4.5.2.4 Multichoice questions

Multichoice questions consist of a stem and four or five alternative responses, and can be in the form of a statement or a question, for example:

Statement	**Question**
A tachometer indicates	What does a tachometer indicate?
▪ Road speed	Road speed
▪ Oil pressure	Oil pressure
▪ Engine speed	Engine speed
▪ Battery charge	Battery charge

Trainees circle or cross the alternative selected; anyone with a marking brief can decide whether the answer is correct or not.

Bramley (1991, p.42) provides the following guidelines when dealing with multichoice questions. Stems should be:

- Clear and brief;
- Not include negatives, as well as; and
- Not give clues by using key words which are repeated in the correct alternative answer.

Incorrect alternatives (usually called distractors) should:

- All be plausible;
- All be incorrect; and
- Be arranged in random order so that the correct answer cannot be guessed because of its place in the sequence of alternatives.

General considerations when dealing with multichoice are:

- Each item should test a concept which is important for the trainee to know;
- No item should reveal the correct response to another item; and
- The items should be grouped by type so that the instructions can be made simple.

4.4.5.2.5 True or false questions

Multichoice items are often difficult to write because insufficient plausible alternatives cannot be found. In this case, it is possible to use a specific form, the true or false item. For example:

'*Fillet mignon* is obtained from the best end of mutton'. True or False?
With this type of question there is the likelihood that only trivial information will be tested. There is also the possibility of giving clues by using words like 'never' or 'always' in the stem as these are usually false statements.

4.4.5.2.6 Gain ratios

Bramley (1991, p.43) states that when looking at the framework for analysing types of knowledge required, it was suggested that training could be considered as an attempt to close the gap between present and desired levels of knowledge. Bramley (1991, p.43) further adds that from

this statement it would appear to be logical to measure knowledge before as well as after training and thus estimate the gain. However, this is not without problems. The most obvious is that it may be a waste of valuable training time to establish that the trainees know virtually nothing at the beginning of the programme. It is also necessary to produce two similar but different tests or trainees will be alerted to the questions to be asked at the end of the programme and may concentrate on learning the answers to these questions rather than learning the principles which allow them to answer a range of similar questions.

There are situations where it is worth-while to pre-test as well as post-test knowledge. The gain ratio which can be calculated from this will give an estimate of the effectiveness of the programme. Using the formula:

$$\text{Gain ratio} = \frac{\text{Post-test score - Pre-test score}}{\text{Possible score – Pre-test score}} \times 100\%$$

A figure which takes values between 0 and 100 per cent will be obtained for each candidate. This represents how effective the programme was in teaching the particular individual what he or she needed to learn. The average gain ratio over a group of trainees gives a course's effectiveness measure.

As a guide one should expect an average gain ratio of about:

- 50 per cent with a good instructor and a good balance between input and practice;
- 70 per cent or better with individual instruction on programme packages; and
- 20 per cent with short lectures followed by questions.

These figures are empirical, based on studies of actual gains made, and can probably be explained by the level of active learning involved in the three methods.

Poor level gains may also indicate that the trainees do not comprise a homogenous group. It is common that within a group there are those who know much about the topic and also there are those who know nothing about the topic before training. When this occurs the tutor will pitch the learning rate at a level which is too high for some and too low for others. If this is serious it will be revealed because the gain ratios will tend to cluster into two groups; high for people whose pre-scores were low, and low for the others (or vice versa). The implication here is that a pre-test could filter the candidates into two streams for more effective learning (Bramley 1991, p.44).

Pre-testing also sensitises the trainees to those aspects of the programme which the tutors perceive to be important. This is widely used in programmed packages as a way of motivating the learners by indicating what the objectives are. According to Bramley (1991, p.44), research on motivation has shown that many adults appear to be trying to achieve goals which they have set themselves for much of their adult life. This may be a source of energy which can assist in the training process. Alerting trainees to the important aspects will also remove some of the ambiguity and allow them to make more informed estimates of what the programme might be able to offer them.

It can be concluded that evaluation can be made an integral part of the learning process by utilising the feedback on what is known and what needs to be learned. Measuring changes in levels of skills is another important aspect of training and development evaluation.

4.4.5.3 Measuring changes in skills

This section will cover the following; levels of skills, testing levels and profiling of skills.

4.4.5.3.1 Levels of skills

Bramley (1991, p.46) states that it is important to consider different levels of skills in a similar way to those which were used for knowledge. The following are the suggested set of levels:

- The basic level with skills is to be able to communicate, and for this it may be necessary to be able to label items, to identify parts, to name the main assemblies of a machine, etc.;
- This level involves the ability to perform simple procedures, often with the use of instructions or notes. Simple procedures refer to actions like changing the wheel on a car, where there is a sequence to follow but each part of the procedure involves only a few very simple skills;
- This level is one performing physically skilled actions. These usually involve hand-eye co-ordination and learning them requires practice. For example planing a piece of wood to a required size, or typing 70 words per minute; and
- Another level of skills is one that involves judging whether a piece of skilled work is of acceptable quality. For instance, deciding whether a piece of finished metalwork is satisfactory or not.

It is important to note that the amount of time spent on training and the sophistication of the testing situation will increase with increasing levels.

4.4.5.3.2 Testing levels of skills

Bramley (1991, p.46) notes that skills should be tested with practical tests unless the skill of being able to do something can be assumed from the ability to state the correct sequence of actions. Listing the sequence is often a different skill. For instance, it can be stated how to strip, clean and assemble a carburettor, but after it is assembled, the carburettor does not work properly. Tests of skill fall into two main types:

- The trainee is set a task (for example, to repair an item) and the work is inspected at the end of the test period; and
- The trainee is watched through the test so that the methods used can be assessed as well as the final product.

This type of test is more economical in terms of the time spent on the tutors and testers. The second is more flexible as the trainee who makes an error in the initial stages can be put back onto the correct path by the tester and thus demonstrate the ability to carry out other parts of the task. Some tasks will require the second type of test because the results will not show how well the work has been carried out. Some kinds of welding for instance need to be watched during the process as the quality of weld will not be obvious from the surface inspection (Bramley 1991, p.47).

4.4.5.3.3 Profiling skills

Bramley (1991, p.48) states that the use of four levels of skill, and estimating at each level what adequate job performance means, allows for the identification of individual needs for training and development. Effective training will also require some estimate of what trainees are able to do before training. Often this can be assumed to be very little, but sometimes it is worth testing. Profiling is commonly used in education as a

method of recording how far students have developed along a particular path. It can also be used in a training context for assessing where trainees are at present and where they should aim to be at the end of training.

4.4.5.3 Changes in attitude and behaviour

Under this section, the following will be presented; semantic differentials, repertory grid and behavioural scales.

Bramley (1991, p.52) explains that the structure of a training programme is dependent on the likelihood of their purpose with emphasis placed on the distinction between skills and attitudes. The distinction between the two concepts will assist in understanding how to measure changes in attitude and behaviour in the evaluation process. It is important for the trainer to distinguish what exactly the programme address. In this way the evaluation process can be designed to look at one aspect separately from the other to give the appropriate feedback. Bramley (1991, p.52) defines attitude as a tendency or a predisposition to behave in a certain way in a particular situation, whereas a skill is the ability to perform a task well.

Attitudes can be measured directly, but are usually inferred from what people say or are seen to do. Changing someone’s attitude may be about changing what they say and do but this will not necessarily follow. People behave in ways where other variables in the situation may be more powerful in selecting behaviour than attitudes previously held.

The process of attitude training has four main stages:

- Identify desirable attitudes which are expected to lead to some improvement, usually of culture, climate, in some part of the organisation. The attitudes identified are usually of a fairly general nature like: positive management; consideration for subordinates; openness and trust in the workplace; being less prescriptive and more likely to delegate responsibility;
- Assess where the participants are with respect to the desired attitude. This is usually done by self-analysis, often with an inventory. The participants' perceptions of their 'normal' work behaviour are classified and shown to have some categories which differ from the ideal;
- Convince the participants of the value of the desired attitudes by giving examples, models or counselling. This is reinforced by allowing them to experience some success in experiential learning, perhaps by role playing; and
- If training is done well, the participants accept the new attitude and return to work. Here it is expected that they will perform consistently with the new attitude (Bramley 1991, p.52).

As attitudes are measured or discussed early in the programme it is possible to reassess them towards the end and show changes in the expected direction. Often this is done in an informal way at the end-of-course discussion of what were the most important things to the employee? It is possible to make assessment more formal by developing action plans. What will the employee do more of and what will they do less of when they return to work?

There are also inventories which can be used early and late in the programme. The inventories will seldom be exactly what is required but

the formats can be used to build up something specific for a particular programme.

4.4.5.3.1 Semantic differentials

Bramley (1991, p.53) states that a simple method for checking whether there has been a change in attitude, and in what direction, is to use a semantic differential of the types shown in Figure 4.3 below. The participants are asked to think about a particular concept, for instance, ‘evaluation of training’ or ‘participative management’, and to mark on each seven-point scale where their opinion lies. The opinions of the group are usually summarised by frequencies or averages to give some feel for what their overall attitude is to the concept.

Valuable	1	2	3	4	5	6	7	Worthless
Sincere	1	2	3	4	5	6	7	Insincere
Strong	1	2	3	4	5	6	7	Weak
Relaxed	1	2	3	4	5	6	7	Tense
Active	1	2	3	4	5	6	7	Passive
Warm	1	2	3	4	5	6	7	Cold
Fast	1	2	3	4	5	6	7	Slow

Figure: 4.1 A Semantic Differential

Source: Bramley (1991, p.53).

The exercise is repeated near the end of the programme and any changes in attitude can be identified. The technique is neutral with respect to the direction of the changes. The trainers should be able to assess whether a change in any particular dimension is positive and this should be related to the objectives of the programme.

4.4.5.3.2 Repertory grid

A more rigorous method of finding out what people's attitudes are towards a particular concept is to use a repertory. This technique asks the person whose attitudes are being investigated to consider a number of examples of the concept and to say what criteria he or she would use to distinguish between them. This is usually done during interviews with each individual separately, but is likely to involve too much time (Bramley 1991, p.54).

It is possible to follow up changes in attitudes back to the workplace to discover to what extent they have been maintained, but it is doubtful if this will actually produce useful information. One is still left with the assumption that changes in attitude imply changes in behaviour at work. Bramley (1991, p.57) recommends the use of a behavioural scale to measure changes in the ways in which things are done.

4.4.5.3.3 Behavioural scales

The basic rationale of using behavioural scales is that they can make explicit what changes are expected to result from training and give some estimate of whether they are actually occurring. Rackham and Morgan developed the 13 categories of behaviour which can be used by trainers to critically analyse any behavioural change (refer to Figure 4.4). These categories of behaviour are intended to provide a vocabulary for communicating frequencies of doing things and thus act as an aid for providing accurate feedback which the recipient can understand. Important categories are selected from critical incident studies of the kind of work to be learned.

The actual categories of behaviour used by Rackham and Morgan (1977, p.45) were developed over a number of attempts and eventually settled as:

Proposing behaviour which puts forward a new concept, suggestion or course of action (and is actionable).

Building behaviour which extends or develops a proposal which has been made by another person (and is actionable).

Supporting behaviour involves a conscious and direct declaration as support or agreement with another person and concepts.

Disagreeing behaviour involves a conscious, direct and reasoned declaration of different opinions, or criticism of another person's concept.

Defending/attacking behaviour which attacks another person or defensively strengthens an individual's own position. Defending/attacking behaviours usually involve overt value judgements and often contain emotional overtones.

Blocking/difficult stating behaviour which places a difficulty or block in the path of a proposal or concept without offering an alternative proposal and without offering a reasoned statement of disagreement. Blocking /difficult stating behaviour therefore tends to be rather bald, e.g. 'It won't work', or 'We couldn't possibly accept that'.

Open behaviour exposes the individual who makes it to risk of ridicule or loss of status. This behaviour may be considered as the opposite of defending/attacking behaviour, including within the category of admissions of mistakes or inadequacies provided that these are made in a non-defensive manner.

Testing understanding behaviour seeks to establish whether or not an earlier contribution has been understood. That summarises, or otherwise restates in a compact form, the content of previous discussions or considerations.

Seeking information behaviour seeks facts, opinions or clarification from another individual(s).

Giving information behaviour offers facts, opinions or clarification to others.

Shutting down behaviour excludes attempts to exclude another group member.

Bringing in behaviour is a direct and positive attempt to involve another group member.

Figure: 4.2 Categories of Behaviour

Source: Bramley (1991, p.58)

Through appraisal interviewing, the categories thought to be important to good performance might include a high rate of:

- Seeking information proposals, solutions to problems etc;
- Testing understanding;
- Summarizing;
- Supporting;
- Building;
- Low rate of proposing; and
- Blocking/difficulty stating.

The frequencies at which the candidates show these behaviours in the early practice interviews is fed back to them and discussed. Candidates then have clear bench-marks against which to measure their progress. The best place to do this behaviour tracking is in the actual job situations, but it can also be used during off-the-job training (Bramley 1991, p.59).

It can be concluded that change in both attitude and behaviour can be measured by the trainer using the relevant methods to determine the extent to which change has occurred. The rationale is that of making explicit what changes in behaviour are expected and the format that can be used before and after by the candidates themselves and by their managers to give estimates of attitude and behaviour changes.

Having explored the assessment of change in attitude and behaviour, the next stage is to find out how training and development bring about changes in the levels of effectiveness.

4.4.5.4 Changes in levels of effectiveness

The following changes will be presented in this section: individual changes in effectiveness, changes in effectiveness in teams, changes in the organisational effectiveness and cost changes.

Wynne and Clutterbuck (1994, p.242) and Bramley (1991, p.61) state that the purpose for evaluating training and development is to ensure improvements in the overall effectiveness of the organisation. The authors note that in many organisations for a long time training and development have been making their way separately from the needs of the organisation. In looking to the future, training will be effective, and seen to be effective, only if it responds to the real business needs.

Amongst others, the main reason for evaluating training and development is to determine changes in the levels of effectiveness at individual, team, and organisational levels. This is why organisations invest money in training and development. Yet many will argue that training and in particular development and management training, cannot be evaluated against the organisational effectiveness. This is either because the changes due to training and development become indistinguishable from the effects of other events, or because the effort of an individual has little effect upon the performance of the organisation as a whole (Wynne & Clutterbuck 1994, p.242).

Bramley (1991, p.61) partly concurs with some of these arguments by noting that it is difficult to isolate the effects of training from other factors and it may be impossible to do this if criteria by which change is monitored have not been established before that training is designed. Bramley agrees that the efforts of an individual are unlikely to have any noticeable effect on the balance sheet at the end of the year.

There is however, no need to use such general criteria when looking for improvements in the organisational effectiveness. It is possible to focus on a small part of the organisation and link improvements in its performance with training and development initiatives. The next section will cover individual changes in effectiveness.

4.4.5.4.1 Changes in individual effectiveness

Most training and development initiatives focus on the individual with the intention that learning should enable the trainee to become more effective either in the present job or one which is shortly to be attempted.

Bramley (1991, p.61) believes that if a training need which is to be met is identified in terms of the improved performance which should result (rather than ‘Mr X needs to attend course Y’), then it should be possible after the programme to assess whether this improvement has taken place. This may be quantifiable as an increase in productivity. It may also be expressed in terms of a wider range of skills and offering increased flexibility of employment.

In section (4.5.4.3.3) on using the behaviour scales for assessing change, the author suggested that these behaviour scales could make explicit what changes were likely and that it might be possible to integrate them with the annual performance appraisal categories. If this can be done, the employing managers will be able to provide evidence of whether changes have taken place and, if so, whether increased effectiveness is the result.

One method of assessing increased performance is an improvement in the performance appraisal ratings. It should also be possible to show increased productivity in the section for which the supervisors were responsible.

Bramley (1991, p.62) suggests that one way of facilitating the transfer of learning back to work is by using action planning during training. At intervals during training, for instance, daily on a five-day course, the participants are asked to focus on the utility of what was has been discussed. This can be done by giving out coloured sheets of paper and asking each participant to write down two or three useful things which have been covered during the day and could be of use back at work.

The participants also have to make short notes on each item on how they intend to make use of it. Some sharing and discussing these will give useful feedback on what they think is important learning, but the main purpose is to focus on the utility and the build up of an action plan for when they return to their work. Towards the end of the programme they cluster the items from the sheets into areas and then arrange them in their order of priority. The action plan for the next six months is now drafted by putting some time frame on each area to be tackled. It will also be necessary to write down against each area likely countervailing forces and how these are to be overcome. The questions to be addressed include the following:

- Will this action have an affect on other people?
- How will they react?
- Whose authority will be necessary to implement this action? How do I ensure that this will be available?
- What organisational constraints are likely to prevent this action?
- What can be done to ease them?

The action plan is a piece of positive management. It forms a set of goals to be achieved and it gives a time frame and rationale for each of them. The action plan can be lodged with the course tutors and followed up later. Whether or not this happens, the plan should be discussed with the

employing managers before or after a return to work. During the follow-up six months later, questions like the following can be asked:

- How much of your action plan have you been able to implement?
- Which actions have been shelved and why?
- What positive benefits in terms of effectiveness in your part of the organisation have resulted from carrying out your action plan?

A specific form of action planning is through the use of an organisational project as the focus for learning, with input from tutors at various stages throughout the project. This project normally has a focus on the increased effectiveness on the part of the company, and can show a good return for the investment in training.

From the above discussion, it can be concluded that the participant's evaluation of the training programme they were taken through can assist in pointing at critical instructional flows that may have occurred during the delivery of training and it is up to the trainers to notice these grey areas with a view to improving the training programme for the future. In the modern workplace organisations have adopted a team-work approach which is based on the concept of synergy. A team comprises individual members and together they function as a single body for the good of the organisation. It is therefore necessary to investigate changes in the effectiveness of teams as a result of training.

4.4.5.4.2 Changes in teams' effectiveness

Team development is intended to improve the effectiveness of a group of people whose jobs require that they work together. It assumes:

- That the group has the same reason for existing, some common goals and problems;
- That interdependent action is required to achieve the goals or solve the problems; and
- That is it valuable to spend time in trying to understand and improve the way in which group members work together to achieve their tasks (Bramley 1991, p.64).

Team development activities may focus on working relationships or on action planning.

Mangori (2001, p.60) identifies three main models: problem solving, interpersonal, and role-identification.

The problem-solving model encourages the group to identify problem areas which are affecting the achievement of group goals. Action planning is then used as a method of tackling the problems. The problem-solving approach is easier to evaluate than the others as the problems to be tackled are clearly identified and defined and they often have an obvious connection with some measure of the organisational effectiveness. It can often be argued that the increase in effectiveness would not have occurred without the development of the team.

The interpersonal model attempts to improve decision-making and problem-solving by increasing communication and cooperation on the assumption that improving interpersonal skills increases the effectiveness of the team. The interpersonal approach is usually evaluated in terms of perceived effectiveness. This is not convincing if the intervention needs to be justified in terms of organisational benefit, since the results are likely to be measured as changes of attitude rather than behaviour. There is also the problem of internal validity as, without the use of control groups, it may

be difficult to rule out factors other than the team development process which could have affected the attitudes measured.

The role-identification model attempts to increase effectiveness by increasing understanding of the interacting roles within the group. However, evaluation is even more difficult with the use of the role-identification approach in an organisational setting. The composition of each group is unique and the assessment of its improved effectiveness will therefore have the format of a case study. It should be possible to analyse a set of these case study to indicate perceived improvements in group working which supports the theory. These perceived improvements will certainly imply increased awareness on the part of the group members, but the links with improved effectiveness of the organisation are not easily predictable.

The next section will cover changes in organisational effectiveness.

4.4.5.4.3 Changes in the organisational effectiveness

Zara (2005, p.417) states that one of the current trends in organisational evaluation is the desire to measure the effectiveness of training and development at the organisational level. For many trainers, evaluation of training and development has a vague connotation, but generally evaluation of training at organisational level is seen as the process of attempting to assess the total value of training and development, that is the cost benefit, and the general outcomes which benefit the organisation as well as the value of the improved performance of those who have undertaken training and development (Burcley & Caple 2000, p.182).

The cost implications of training will be discussed in the next section.

Buckley and Caple (2000, p.202) note that organisational effectiveness is not a simple concept with the balance sheet at the end of the year as the only criterion to be assessed. Different authors recommend different ways in which one can approach organisational effectiveness. Other authors believe it involves organisational evaluation in terms of productivity, flexibility, and the absence of organisational strain. The majority of them agree on the following; that an effective organisation seeks the simultaneous achievement of high production-centred and high people-centred methods of management.

Burckley and Caple (2000, p.202) bring a different viewpoint into the equation. They suggest that organisational effectiveness can be summarised under the following headings:

4.4.5.4.3.1 Goals/targets achieved

Burckley and Caple (2000, p.202) state that these goals might be expressed in terms of the following indices: units produced, improvements in productivity, documents processed, items sold, turnover, error and reject rates, wastage rates, accident rates, profit operating or running costs, overtime etc. In other words, the focus is on the output of the organisation and how close it comes to meeting its goals.

Bramley (1991, p.73) concurs with Burckley and Caple (2000, p.202) and goes further to explain that a goal-directed approach to effectiveness focuses on meeting goals and targets. Directing and sustaining a goal-directed effort by employees is a continuous task for most managers, but assessment will usually be a series of point measures over time. Most organisations use basic measurement of work output to meet production

goals, where the emphasis is on quality or quantity, variety uniqueness or innovativeness of whatever is produced. Types of indices which are usually available are shown below in Table 4.1.

Quantity	**Quality**	**Variety**
Units produced	Defects/failure rate	Diversity of the product
Range	_	Rationalization of product range
Tasks completed	Rejects rates	_
Applications processed	Error rates	_
Backlogs	Rework	_
Turnover	Srap	_
Units sold	Waste	_
Money collected	Shortage	_
On-time deliveries	Accidents	_

TABLE: 4.1 Goal-Directed Approaches

Source: Bramley (1991, p.72).

4.4.5.4.3.2 Resource acquisition

The ability of the organisation to acquire resources from an external environment will be an important determinant of its present and future viability. These needed resources could include: new materials, specialists and trained manpower, new customers and markets, or finance.

Bramley (1991, p.74) argues that the importance of looking at resources is because resources change the emphasis from output and goals, to the input designed to achieve an organisational competitive advantage. At the

organisational level, evaluation can be a comparison with major competitors, or against how the organisation did last year, or against a desired ideal state. At lower levels, increased flexibility is often the measure used.

For criteria which might be available for assessing increases in effectiveness refer to Table 4.2 below.

Eternal Indicators	**Internal Indicators**
Increase in number of customers	Increase in the pool of staff
New branches opened	Skills for future job requirements developed
Takeover of other companies	Increased flexibility in job deployment
Ability to change standards operating procedures	

TABLE: 4.2 Criteria for Assessing Resource Acquisition
Source: Bramley (1991, p.74).

Developing accountability and responsibility of departments is widely seen as contributing to the flexibility of the organisations faced with an ever-changing environment. Training is a necessary part of this process and can be evaluated on the basis of what effects would have been likely if no training had been offered (Bramley 1991, p.74).

4.4.5.4.3.3 Constituencies

An organisational effectiveness can be judged by how well the organisation responds to the demands and the expectations of stakeholders such as resource providers, and customers' complaints, consumer survey, meeting order deadlines, goods returned, internal attitude surveys, and audits.

Burckley & Caple (2000, p.202) explain that this assessment involves indicators of the extent to which the expectations of internal and external clients and constituents have been satisfied. Organisational effectiveness can be measured by the extent to which the organisation meets the expectations of groups whose co-operation is important for the success of the company. The constituency's assessment will be against the following criteria: customer complaints, returned material, repair orders, repair orders on guarantee, company image surveys, customer relations surveys, recall costs, receipt of goods, product or service quality, incorrect goods received, meeting statutory requirements.

Bramley (1991, p.75) observes that most organisations monitor criteria of this nature but few publish information on the same. One rather useful study which attempted to relate this kind of criterion with training was that of (Massey1999, p. 42). Massey (1999, p.42) described a programme of post office training and showed that the number of misdeliveries and errors (as well as absence without reporting and abuse of sick leave) decreased in the trained group when compared with an 'untrained' group. "How do we know that we are properly dealing with human resources functions"? (Massey, 1999, 143)

In order to address this question, it is important that the organisation considers its internal processes.

4.4.5.4.3.4 Internal processes

The manner in which the organisation deals with its human resources issues influences its effectiveness.

Burckley and Caple (2000, p.202) state that internal processes indicate how well the organisation is dealing with operational matters. This may be an important indicator of organisational health, and ultimately the effectiveness of other measures. Signs and symptoms of this may come from: staff attitudes and morale, levels of conflicts, absenteeism, turnover, transfer requests, grievances, disciplinary actions, group working, speed of re-organisation and change, quality, level and extent of internal communication.

Bramley (1991, p.75) states that the feeling of belonging and commitment often predisposes people to put in extra effort to achieve organisational goals. At the group level this is referred to as morale. An internal processes approach may also be assessed by measuring the following:

- Whether the staff believe that effort will be rewarded;
- The motivating climate;
- Job involvement;
- Job satisfaction; and
- Group cohesiveness.

Bramley (1991, p.76) is of the belief that training can impact on patterns of work within certain departments of the organisation, for instance by increasing the quality of decision-making, planning, or supervision. Training can help improve working within groups and between groups. It can also help people to cope with reduced staff levels and with time

management. Many of these activities can affect the attitude of managers and staff and these changes may affect the statistics associated with low morale.

It can therefore be concluded, that changes due to training and development initiatives can be measured and assessed to determine the extent to which the initiative has made a difference at individual, group and organisational level. Delivery of training and its evaluation involves money, therefore trainers must know the cost effectiveness of a programme.

4.4.5.5 Cost of changes

This section on evaluating changes due to training and development would not be complete without discussing cost effectiveness and the need for cost-benefit analysis.

Although few trainers conduct costing activities, there are those who prefer a cost changes approach to determine the impact of training and development in monetary terms. The trainer has at his disposal the cost changes and the return on investment approach to determine the worthiness of training and development in an organisation. However, this section will only cover a detailed discussion on the former and the latter will be covered in chapter five.

According to Bramley (1991, p.80), costing, cost-benefit analysis and cost-effectiveness analysis are rather complex fields and trainers need to be well versed in these areas to obtain meaningful results.

4.4.5.5.1 Costing

Bramley (1991, p.78) notes that some of words have been used differently with different meanings when applied to costs and benefits and it is important to give a brief definition of these phrases:

- Improving efficiency means achieving the same result by using less costs;
- Improving effectiveness means achieving better results with the same cost; and
- It is possible to get better results with lower costs and this is referred to as improved productivity.

Costing differs from organisation to organisation and liaising with the accounting department is important for ensuring that the system adopted for training costs is compatible with other costing systems within the organisation. A simple matrix for costing training events is shown in Table 4.3.

	Personnel	Facilities	Equipment
Design	1(a)	1(b)	1(c)
Delivery	2(a)	2(b)	2(c)
Evaluation	3(a)	3(b)	3(c)

Table: 4.3 Costing for Training Events
Source: Bramley (1991, p.78)

4.4.5.5.2 Design

The cost of design can be spread over the life of the programme (i.e. shared by the proposed number of programmes) as it will otherwise account for 50 per cent of the overall costs. As a rough guideline, technical courses will require five hours of preparation for a programme that will take one hour to deliver. Programmed or packaged instruction will be much more expensive for example, a 100-hours design is needed for one hour of instruction. With computer-based learning, the ratio can be as high as 400:1.

The cost of designing the learning event will include things like:

- Costs of preliminary analysis of training needs, development of

objectives, course development, lesson planning, programmeming, audio-visual aids production, consultant advice, and contractors;

- Office telephone; and
- Production of workbooks, slides, tapes, tests, programmes, printing and reproduction.

4.4.5.5.3 Delivery

Delivery includes the actual costs of running the event. In these are included, amongst others, the following:

- Some proportion of annual salaries of trainers, lecturers, trainees, clerical/administration staff, cost of consultants and outside lecturers travel costs;
- Cost of conference centres or upkeep of classrooms, buildings, offices, accommodation and food, office supplies and expenses; and
- Equipment for delivering the training– slides, projectors, videos, computers, simulators, workbooks, maintenance and repair of aids, expendable training materials or some proportion of costs relative to lifetime, handouts, hire of films.

4.4.5.5.4 Evaluation

The cost of evaluation is usually low compared with the other two elements. The probable costs include:

- Cost of designing questionnaires, follow-up interviews, travel, accommodation, analysis and summary of data collected, delivering the evaluation report;
- Offices, telephones ; and

- Test, questionnaires and postages.

It is important to give a general overview of the expenses of maintaining the training department. This may be allocated to individual training programmes on the basis of hours of participants learning, tutor involvement and level of administration required.

4.4.5.5.5 Cost-effectiveness comparisons

Bramley (1991, p.79) is of the view that cost effectiveness analysis allows the trainer to cost programmes and use this as a basis for comparing them. There is a common assumption that the level of programme effectiveness will be similar and thus the cheaper, more efficient form of delivery should be chosen. It is also possible to compare the effectiveness of programmes and then offer a rationale for deciding whether the increased effectiveness of one programme justifies the extra cost. This comparison is more convincing when pilot versions of the two programmes are run, so that the actual, rather than estimated, levels of effectiveness can be used.

4.4.5.5.6 Cost-benefit analysis

In cost-benefit analysis the intention is to discover whether the benefits from training are more valuable to the organisation than the cost of training. Whenever possible, benefits are translated into monetary terms. Many products of training can be costed:

- Product benefit like increased volume or quality of product;
- System benefits like increased productivity or efficiency, reduced job-induction training time;
- Hygiene benefit like reduced turnover, absenteeism and strikes;and

- Reduction in accidents (perhaps costs which are inherent when not training).

4.4.5.5.7 Value-added employees

The logic underlying cost-benefit analysis is not particularly appropriate to training and development initiatives because the benefits are diffused and take some time to be realised. A more compelling logic is to consider the process as one adding value to employees. Before training, employees are considered to need extra skills, knowledge, flexibility or whether they are able to work effectively. After training they should be able to perform better and thus be of greater value to the organisation. It should be possible to attribute some of this added value to the investment in training and development.

Bramley (1991, p.81) notes that the value-added approach has assumptions underlying it which need to be analysed. The first assumption is to take a rather simple definition of performance at work. There is extensive literature on why some people perform well and others do not. The complexity of the literature is increased by the inclusion of the concept of motivation. There are many theories about what encourages and discourages good performance. Chepkilot (2005, p.85) supports the view that training and development is used by many organisations to enhance the motivation of their employees. The availability of training and development opportunities is a motivating factor for employees in the organisation.

For the purpose of value-added accounting a simple performance theory is needed. One approach to this theory is to take a simple combination of three major elements which appear more often in the theoretical approaches. These include the following:

- There is a need for some abilities or skills in areas which are relevant to the work;
- There must be some motivation to do the job (this may stem from the job content or the individual); and
- There must be an opportunity to use the skills and actually perform the job.

A simple equation can be used to express this theory

Performance = function of (skills X motivation X opportunity).

The implication of the multiplication signs is that, if there is no skill or motivation or opportunity, the performance will be minimal if not zero.

Value-added accounting begins with a pre-training analysis which estimates the position of the individual with respect to the average level of skill and motivation of employees who are doing that kind of a job.

The scaling is done against a set of proportions (see Figure 4.5) below:

- The middle 40 per cent are considered to be average;
- Those who are noticeably above average will represent about 25 per cent;
- Those noticeably below average will also comprise 25 per cent;
- Those outstanding will be about 1 in 20, i.e. 5 per cent, and
- Those who are outstandingly bad will also constitute about 5 per cent.

From the above it is clear that employees can add value to the training and development initiatives and to the bottom-line of the organisation.

Employee development through training and development will not only add value, but can improve organisational efficiency and effectiveness.

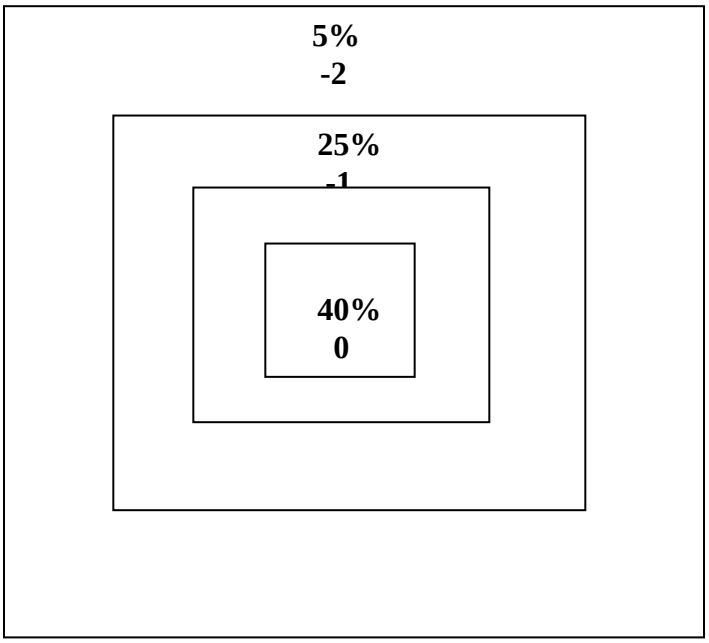


Figure 4.3: Normal Distribution of Ability

Source: Bramley (1991, p.82).

These proportions have been chosen because they force the distribution of skills or motivation into a normal statistical distribution, with the midpoints of the bands close to whole standard deviations, as shown in Figure 4.3. The next and last is the estimated levels of performance (assuming opportunity) which are aimed at clarifying the logic of the value-added approach.

4.4.5.5.8 Estimated levels of performance (assuming opportunity)

Figure 4.6 should clarify the logic of the value-added approach. For an example, an employee who is considered to have average motivation (1.0) but whose skills are noticeably below average (0.67) is estimated to be

performing at 0.67 of what is expected in the job. If training can bring this person to average levels of skill, his increment in performance is 0.3 and the value added to the employee by training is, therefore, 0.3 of the salary for the job.

Employees who are noticeably below average in both skills and motivation are obviously being estimated as having a very low level of performance. It may be that they could be better employed in some other kind of work. Employees who are noticeably above average or who are considered to be outstanding might also be considered for re-deployment. It may well be that the training investment should be on supervisory and management training. If employees are thought to have the motivation but lack some important skills, then the investment should be in employee skills training.
Bramley (1991, p.84) provides three assumptions which must be taken into consideration:

- Can managers allocate people to these proportions? Some managers believe that all their people are above average. The majority of managers have great difficulty with trying to measure people on the scale of motivation;
- Is there the opportunity to use skills and the encouragement to maintain the motivation when new skills are being used? If the opportunity is not available, the whole logic collapses; and
- Are the skills which are required for successful job performance being identified accurately, and are they being learned in training?

.6	1.1	1.7	2.2	2.8	Very high 1.67
.4	.9	1.3	1.8	2.2	Above average 1.33
.3	.7	**Average 1.0 Performance**	1.3	1.7	1.0
.2	.4	**.7**	.9	1.1	Average .67
.1	.2	.3	.4	.6	Below average .33

Very low .33 .67 1.0 .33 1.67

Very low below average Average above average very high

Estimated level of motivation

Figure 4.4 **E**stimated Levels of Performance

Source: Bramley (1991, p.83).

According to Bramley (1991, p.84), if these assumptions can be accepted, the approach can be used to estimate the return on investment. The

estimate can be used for forward planning of training investment. If the plan is intended to offer training and group facilitation to introduce group and individual target setting which are related to the business plan, the intention would be to improve motivation and increase the opportunity to use the skills available. If training and development is to move most people who were previously considered average o above the norm, either on skills or motivation, the benefit to the organisation would be enormous.

In conclusion, cost-benefit accounting, which aims at summarising all the outcomes in monetary terms, usually leaves out many things which are important because they cannot be converted into hard cash. Value added calculations have an advantage of usually being the only part of evaluation. The evaluation reports describe the outcomes in their own terms and a conclusion is then drawn that these do (or do not) imply a significant increase in skills and or motivation. The section of the report which deals with costs can then include a value-added calculation which indicates that there has been some return on investment, a concept which will be discussed in chapter five.

The next section will present a discussion on how training and development could be evaluated through the proper implementation of performance management.

4.4.6 Evaluating training and development through the implementation of a performance management system

This section will cover a discussion on yet another training evaluation strategy which is an important link between training and development and performance. It is critical to investigate how the evaluation of training and

development in an organisation improves individual, group and organisational performance.

In order to ensure that training and development priorities are met, it is imperative that the training courses be evaluated in terms of their effectiveness and efficiency as previously discussed in (section 4.5.4.4). The concept of evaluation has been covered in (section 4.2) while performance management has been discussed in detail in (section 3.4.3) of chapter three. Performance management in the Botswana public service has, since 1998 been transformed and the process is currently more developed in nature and is based on collaborative decision-making between the employee and his or her supervisor.

Different evaluation models and schools of thought will be discussed within the context of training and performance management. The more traditional schools of thought are highlighted, but attention is focused on implementing a model of evaluation that will benefit the Botswana public service goals and objectives as well as individual employee development needs. The section will conclude with a discussion on the strengths and weaknesses of the current training and development system in the public, parastatal and private organisations.

4.4.6.1 Fundamentals of training evaluation

Critten (1995, p.157) states that defining evaluation can be equated with trying to define quality where you can recognise the outcome, but defining it is not an easy task. Evaluation deals with determining the total value of a training course. It does not validate the implementation of a training course in terms of its deliverables. Evaluation draws attention to the judgement about the effect of putting the objectives into practice.

Validation becomes part of evaluation in terms of determining the appropriateness and practical applicability of a chosen course.

The purpose of evaluation is threefold. Firstly, to gather information that would provide a framework for the improvement of future courses regarding the same training needs (formative role). Secondly, judgements will be made based on the training course's value in terms of its total effects (summative role) and thirdly, in order to ensure that challenges identified during the implementation of a training course are not duplicated (Critten 1995, p.158).

Critten (1995, p.158) stipulates that a central principle of evaluation is "to extract the value". However, determining the value of training courses has not been a central concern with either trainers or trainees. Evaluation is described as the fourth step in the training cycle. Without evaluation, determining appropriate performance standards would not be possible and the reciprocal relationship between performance management and appropriate training and development initiatives could not be applied.

Critten (1995, p.158) states that evaluation has become synonymous with collecting information about training programmes that have been implemented. The gathering of information will however, not provide the organisation with an evaluation of the training programmes. The information has to be articulated in order to add value to decisions regarding future training and development initiatives.

The problem statement in chapter one highlighted that training and development in the Botswana public service might not be addressing public service and individual needs simultaneously. Due to a lack of evaluation of training programmes, employees might be sent for training that does not satisfy their training needs due to an ad-hoc needs analysis

at the beginning of the training process. There should be a clear link in the public service between training and development, evaluation and performance management. The process of strategic implementation of performance management within the context of training and development will now be discussed.

4.4.6.2 Implementing performance management to enhance evaluation

Since 1998, the Botswana public service has been extensively involved in formulating policies for the implementation of a performance management system. The Permanent Secretary in the Office of the President was responsible for formulating the performance management framework pertaining to senior management in the public service sector. The Director for the Department of Public Service Management also formulated the performance management framework for the rest of the public service (DPSM 2003, p.18).

In chapter three, section 3.4.3.5 of this research, it is stated that performance management needs to be integrated with all levels in the organisation for it to be effective. It is therefore appropriate, to adopt an effective performance management approach. The approach should focus on continuous improvement of performance, be driven by senior management and should be strategically aligned with departmental and organisational goals and priorities.

Kgarebe (2004, p.78) states that the introduction of performance-management system guidelines formulated for operators and performance-improvement co-ordinators was a milestone in providing policy measures and guidelines for the effective and efficient implementation of the performance management process in the public

service. Performance management is aimed at optimising the potential and current employee output in terms of quality and quantity, increasing the public service overall performance (DPSM 2003, p.19). The policy document on performance does not only link the importance of human resources training and development with individual development, but also with departmental and organisational performance increases.

Kgarebe (2004, p.78) further emphasises that the objectives of the policy document are to establish a performance culture that would reward and recognise good performance in the public service, be used as a vehicle for implementing the public service goals and priorities, facilitate continuous performance improvement and organisational development. The policy document aims to continuously enhance individual employee competence through identifying outputs relating to training and development needs.

The main principle of performance management that relates directly to the problem statement of this thesis is that performance in the public service has been unsatisfactory regardless of vigorous training and development initiatives undertaken by the Botswana government to improve the same. It is apparent that training and development initiatives undertaken without proper implementation and evaluation will not produce the anticipated results as far as performance improvement is concerned.

It should however, also be mentioned that the new performance management system had not been implemented during 1999. It was only implemented during 2000 and thus fell outside the timeframe of its roll-out.

The impact of PMS was evaluated by a consultancy firm Ernst and Young in 2003. According to the report there were major areas of concern which include:

- People struggle with the PMS and find it to be technical;
- Slow implementation, e.g. resources, a long time is needed to prepare objectives and PMS training is slow;
- System not yet cascaded down to lower levels or to individuals;
- People want more guidance on how to do things;
- Vacuum created as a result of loss or transfer of performance improvement co-ordinators;
- People do not understand the role of the Department of Public Service Management (DPSM) and expect more from it;
- New performance improvement co-ordinators are untested;
- Appraisal system being re-designed in isolation;
- Current PMS is not linked to training and development;
- Supervision and appraisal are difficult in outlying areas, and
- There is minimal linkage to good or poor performance (DPSM 2003, p.28).

It is clear from the above PMS shortcomings that training even in this instance is still a challenge to managers responsible for reform programmes in the Botswana public service. It is also evident that from its last evaluation report the PMS has not been impressive, looking at the amount of money spent on this initiative.

The link between performance management and training and development is crucial. It can almost be seen as parts of an unbroken cycle. If performance management is not implemented correctly, as is the case with the Botswana public service PMS, it will not influence the management of the skills and competence gap. Training priorities will not be determined according to the detrimental needs, but will be based on individual perceptions of what is lacking and what is appropriate. Without the strategic link between performance management and training, neither individual nor departmental training goals nor objectives will be achieved.

4.4.6.2.1 Performance management cycle

As discussed in section (3.4.3.4), the performance management cycle begins with establishing standards of performance. Because of the interrelationship between planning and control, control should start early in the planning stage. A performance standard is a projection of an expected or planned performance outcome, taking into account a specific time frame. During the setting of performance standards, the objectives and goals should be specified in order to facilitate the assessment of actual performance (Smit & Cronje 1997, p.401).

The PMS policy guideline is formulated in such a way that the performance agreements of individual employees will be based on the departmental strategic plan, in order to ensure strategic alignment between departmental training priorities and individual training goals and objectives and the functional plans of the individual components. Performance management systems were rolled out to ministries as effective in April 1999, and the performance assessment takes place on a quarterly basis. The formal annual assessment concides with the fourth quarterly assessment (DPSM 2003, p.28).

Mogalakwe (2004, p.67) states that a process involving performance management will ensure that employees are properly supervised, are correctly placed, promotions and transfers will be the best advantage of both the department and the individual employee and, most importantly, careers will be systematically and purposefully developed.

The performance assessment report is the main source of training information for the organisation. Employees are able to identify shortcomings in knowledge and experience. The performance contract should stipulate an individual development plan. Section 18, chapter eight

of the PMS Policy Guideline (DPSM 2003, p.32), stipulates that in order to address the gap that may exist between the required competency profile and the actual competencies, a training and development plan should be designed by means of a collaborative process between the manager and subordinate(s). The principle of including a personal development plan as part of the performance contract of all employees, is in the process of being implemented (DPSM 2003, p.34).

The Department of Public Service Management (2003, p.34) stipulates that all performance agreements should contribute to the achievement of departmental objectives highlighted in the strategic plan of the department. In order to address the gap between current capacity and required competencies, a personal development plan should be part of the performance management system. The personal development plan will consist of a training and development plan specifically designed for the individual employee. The training and development needs will not only be identified through performance assessments, but also upon appointment when a work plan is developed (Mogalakwe 2004, p.69).

There is evidence that the Botswana public service is perceived to be unable to transform itself or its individual performance targets according to the training received.

The outcome of the Ernst and Young report (DPSM 2003, p.36) suggests that currently the performance management system does not inform training and development and that when training has been received, the programme is not evaluated against pre-determined training objectives. Thus, training takes place for the sake of being able to show that employees have had access to training and development opportunities, but it could be argued that the provisioning and implementation of training

programmes are not evaluated or strategically linked to enhancing individual or departmental capacity.

Mangori (2001, p.12) states that the reasoning behind training and development initiatives is to enhance the capacity, not only of the individual, but more importantly of the department and the organisation at large. Performance indicators identified in the PMS policy guidelines are core management criteria consisting of three competencies. These competencies include: people management and empowerment, financial management and client service and customer care, which have been identified as compulsory competencies for all senior managers. In most cases, the identified competencies for senior managers have also trickled down to the lower management levels, where aspects such as people management are crucial. Training courses can be used as ways in which performance can be improved.

Van Dijk (2003, p.162) is of the view that once a training opportunity has been identified, employees are placed in a position to determine how their performance will improve if they receive that training. However, if some sort of control mechanism (in this case a performance agreement) is not attached to the implementation of the newly acquired skills, the chances are that due to the fact that re-inforcement does not occur, new knowledge will not be transformed into wisdom.

Performance assessment implies that progress should be determined in terms of attaining goals and objectives that were set during the last assessment period. Lack of information filtering from management, indicates that employees do not realise the strategic importance of training and development in terms of realising departmental effectiveness and efficiency. Because of a lack of information provided by senior

management, employees decide which training would satisfy their own perceptions regarding personal career development.

Van Dijk (2003, p.163) adds that in most cases, training takes place for the sake of individual fulfilment and that does not necessarily concide with departmental training priorities. For instance, senior managers could decide that they need to further their educational qualifications, something that might take three to five years. However, according to their performance contracts, they have only been appointed for a period of three years. Thus, the training does satisfy individual development needs and if they finish their qualifications, it would also benefit the department, but finishing their qualification might not happen during the period of their employment. Their department can therefore, not justify spending resources on individual development if the development is not aligned with the departmental goals and objectives.

Mpabanga (2003, p.39) points out that part of the performance management system is offering incentives to employees to better their performance. Both the PMS Policy Guideline and the Performance Based-Reward System emphasise the importance of offering rewards and recognition of performance, not only in terms of departmental goals and objectives but also, for individual performance.

4.4.6.2.2 Recognition and reward

Part of the performance management system policy guidelines is the use of rewards and recognition as incentives for improved individual or group performance. The departmental policy regarding rewards is prescribed in terms of the Performance-Based Reward System (DPSM 2004, p.134) and dictates decisions regarding promotion, pay progression, performance

bonus allocation, non-financial rewards or the initiation of the incapacity process.

The PBRS (chapter 4, section 2.3) describes an example of non-financial rewards that may be allocated to senior managers, including increased autonomy to organise their work, explicit acknowledgement and recognition in publications or public awards in recognition of specific achievement or innovation. The executing authority, in this case, the Permanent Secretary to the President has in him the discretionary powers to allocate performance rewards (cash bonuses) to senior managers. There is a provision that only employees who have signed the performance agreement are eligible for performance rewards.

Mogalakwe (2004, p.71) describes factors that could influence performance decisions made by supervisors. The attitude of employees regarding the implementation of a new system, as would be the case in the public service, the supervisor's own subjective norms and the tone of the appraisal meeting are some of the factors contributing to decisions made during performance assessment.

Kgarebe (2004, p.79) defines that performance management is the process that measures individual employee performance against set performance standards and therefore, evaluation becomes part of the process, especially where training and development initiatives have been identified that would address poor performance.

With regard to a learning organisation, evaluation is an integral part of the extent to which the Botswana public service will be able to adapt to changes suggested through evaluating training and development initiatives, and such training should enhance departmental capacity which will lead to improved public service delivery.

4.5 A MODEL FOR EVALUATING TRAINING AND DEVELOPMENT INITIATIVES

This section will commence with a discussion of a theoretical model for evaluating training and development initiatives. This model will be based on the implementation of effective training and development and strategies for evaluating training and development covered in chapter 3. The various aspects of evaluation discussed in this chapter are also incorporated into the model.

The nine training and development models which have been examined (see section 3 .6) and the theoretical discussions in this chapter have provided the major elements for a model for evaluating training and development initiatives.

The model is designed to collect data from government ministries/departments and parastatal organisation's evaluation of training and development in order to determine the effectiveness of their training endevours. More importantly to establish how much training and development improves service delivery in the Botswna public service.

A model for evaluating training and development initiatives is shown diagrammatically in Figure 4.7 and each of the steps is discussed below.

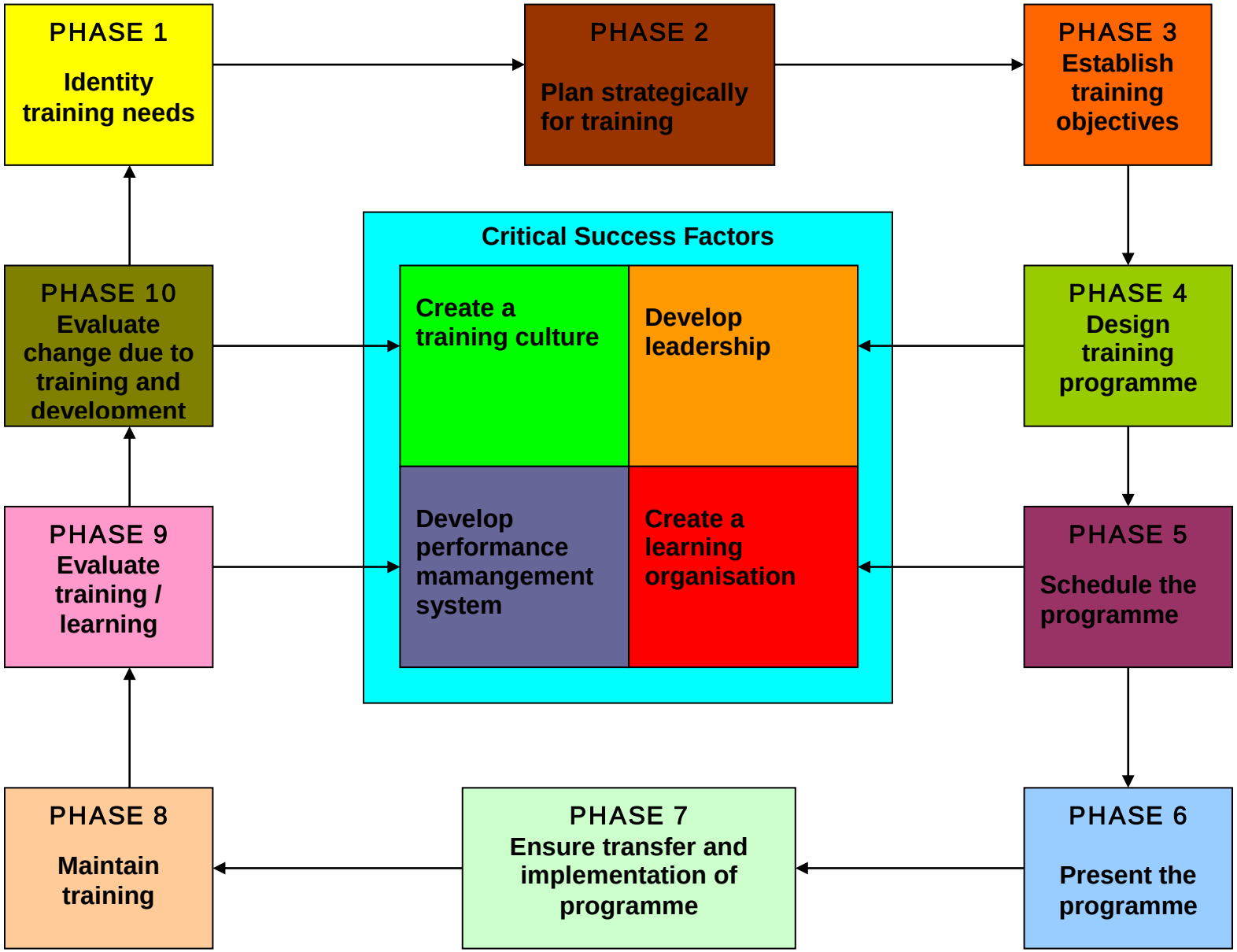


Figure 4.7 A Model for Evaluating Training and Development Initiative

PHASE 1: IDENTIFY TRAINING NEEDS

The first strategy in evaluating training and development deals with identifying training needs and priorities. The identification of training needs and priorities is a critical step in the evelaution process, as this will provide information necessary to design the entire training and development programme. Many programmes are doomed to failure because the trainers are more interested in conducting the training programme than first identifying training needs. Training needs should be indentified both at individual and organisational level.

If training and development are to be the remedy of poor performance, there is a need that the organisation determines its training needs before anything else in the training evaluation process. The first step involves training managers coming up with proper organisational needs. Identification of organisational needs will assist the trainer in designing and developing a relevant effective training and development initiative that will go a long way in addressing organisational performance problems.

The second step in identifying training needs is for the training manager to specify employee performance. Employees have to understand what their jobs entail and link between training and their individual performance. The involvement of employees in the identifying of training needs is of paramount importance. The training department in conjuction with line managers should address individual employees' training needs through a formal performance appraisal of each employee, but if appraisal or performance management is conducted annually, then the appraisal information will be outdated come the time when employees training needs are determined or identified. It was stated in section 3.3.4 that employees' training and development is meant to improve individual employees' performance, therefore the training manager identify employees training needs taking their performance management seriously.

It is important for line managers and supervisors to appraise employee performance at least twice a year for it to have a realistic impact on training and development particularly to assist the trainer identify employee training needs. It is during the appraisal that the trainer and line manager will be able to identify performance deficiencies that can be addressed through training and development.

Most importantly the trainers should:

- Specify employee's critical performance areas;
- Examine both short-term and strategic organisational goals;
- Examine the current trends whether they are likely to affect the strategic organisational goals;
- Identify any deficiency in knowledge and skills of the trainees measured against individual employee's job requirements; and
- Prioritise training needs according to their aligment to the strategic organisational goals.

PHASE 2: PLAN STRATEGICALLY FOR TRAINING

The second strategy deals with strategic planning for training and development in order have an effective evaluation process. If strategic planning is not carried out, there is the likelihood that training will be ad hoc and unco-ordinated. Therefore, training and development should be accorded the seriousness they deserve if strategic organisational goals and objectives are to be realised. Training as part of strategic business plan has to be well-planned from the onset for it to bring the desired changes.

Planning for a training programme is one of the critical step in the training process and it requires training managers and trainers be fully aware of the function of training in achieving strategic organisational goals.

The training manager and trainer must ensure that all training department members are:

- Aware of the strategic direction of the organisation;
- Understand the overall business strategic goals and those of their department when planning for training and development; and
- Ensure that all stakeholders are participates in the planning stage.

PHASE 3: ESTABLISH TRAINING OBJECTIVES

Once planning has taken place, the next phase is for the trainer to establish training and development objectives. Training and development objectives guide the training to be relevant and these objectives are directly linked to the individual trainee's and the overall strategic goals of the organisation. This link is important in the sense that training should be aimed at a particular achievement, and therefore, there is a need for the establishment of training objectives.

Training objectives should spell out what the organisation or the trainer wants to achieve. As these training objectives form the basis of training standards and evaluation of training and development, it is necessary that these objectives should be set out in measurable terms.

Trainers must ensure that these training objectives are spefic in terms of the terminal behaviours trainees should display at the end of the programme. Trainers must also ensure that each objective describes a specific behavioural action. The objective must indicate the standard of performance required, expressed in terms of number, degree and accuracy.

Having indicated the required performance standard, it important for the trainer to make sure that the individual trainee is made aware from the onset of these

standards and how their individual capalities can be developed to achieve the required performance standards.

PHASE 4: DESIGN TRAINING PROGRAMME

The amount of learning which must be absorbed to produce new behaviours is used to develop the training programme. An effective training programme can fundamentally change an employee's effectiveness at work. Training managers and trainers must involve all the stakeholders when designing a training programme. Achieving this collaborative training design involves interrogation of stakeholders. By connecting with those people that are most likely to be affected by the outcomes, trainers are more likely to be able to achieve their aim. There is a need for the trainer to engage others in a dialoque process and decide on the training methods suitable for the proposed training programme.

Training methods can be categorised as on-the-job or off-the-job and include decisions on the type of techniques required. The selection of training techniques must be taken into consideration as well as the application of learning principles which ensure effective evaluation. These techniques may be experientially oriented such as role plays, case studies and group discussions, or didactic such as lectures and presentations.

The trainer needs to consider the following when designing a training programme:

- The trainer needs to ask himself/herself who the trainees are.
- The trainer must be clear on the purpose of training,
- Who is the training for?
- Who is undertaking the training?
- Who is the learner, or who are the leaners?

In addition, to the above questions, the trainer needs to be able to identify learner entry behaviour and this will include a wide variety of different issues including their previous experience, their experience on the job, and their experience in the organisation.

Having thought about the learner, the trainer now determines the learning objectives. A good learning approach must be behavioural in approach. Now that the trainer is focusing on performance improvement, that statement of an objective has its core verb. It is something the that the employee will do as a result of training, better still it is something they can demonstrate, and which can be observed and measured.

PHASE 5: SCHEDULE THE PROGRAMME

Besides identifying training needs, establishing the training and development objectives and planning and designing the programme, the trainer needs to schedule the training programme.

In scheduling the programme the trainer must consider the following questions:

- Are there possible seasonal fluctuations or peak production periods which would make it difficult for the trainees to be relased to attend the programme?
- Is it better to run the course for a period of one week over five continous days or should it be run one day a week over a period of five weeks?
- Should the programme be run during working hours or outside working hours?

It is important that training is not scheduled during peak production periods when the demands are high on potential trainees. Ideally, from the standpoint of learning and attitude change, the programme should be conducted during non-peak

production periods and over a number of of consecutive days. It would be necessary for the potential traine to be released from their normal duties so the can devote their time and attention to the programme.

PHASE 6: PRESENT THE PROGRAMME

Presenting a training programme is the cuilmination of all activities of the training design process. In order to ensure an efficient presentation of the programme, the trainer must make provision for a wide variety of learning experiences and apply specific guidelines and principles.

Sound planning is a pre-requisite for good presentation. During the planning, the trainer must ensure that the content of the training programme corresponds with the expected learnining outcomes and that the content satisfies the needs of the target group.

When the programme has been planned and designed the trainer is in a position to present the programme.

The trainer needs to ensure that the right learning climate is created at the commencement of the programme. The trainer may consider using the pre-tests and post-tests to assist in the evaluation of trainees.The trainer must also make the trainees aware of the results he expects, as communicating these expectations can influence the results to be achieved.

The trainer must be clear on what type of behaviour is required for the learners in terms of the learning outcomes. Other aspects to be considered include learners' attitude, previous experience and knowledge levels, and the expected outcomes in this regard. Only the learning material needed to realise the outcomes should be dealt with. Unnecessary details must be left out.

PHASE 7: ENSURE TRANSFER AND IMPLEMENTION OF PROGRAMME

A training programme cannot be considered complete and successful if the trainee does not transfer and implement the appropriate knowledge, skills and attitudes which are required in the training course, in their work situation.

There is a need for the trainer to facilitate the outcomes of training through the training process. It is clear that there is no value in waiting until after the performance of the training programme before planning and facilitating the transfer of training.

Even though it is not easy to ensure the transfer and implementation of training, it is important that the trainer ensures that the transfer of learning takes place.

PHASE 8: MAINTAIN TRAINING

The immediate transfer and implementation of the appropriate knowledge, skills and attitudes is no gurantee that the trainee will continue to use them in the long term. The trainer therefore, plays a critical role in the maintenance of the training. The supervisor should continuously support the trainee through re-inforcement and reward. Any forces in the work situation that work against the transfer and maintenance of training should be eliminated.

PHASE 9: EVALUATE TRAINING

The evaluation of training and developmenet entails reviewing how training has been concducted, in order to determine whether proper guidelines for the implementation of an effective training programme were used. In order for the trainer to establish the extent to which these guidelines are adhered to, the trainer must be able to answer the following questions:

- Were needs diagnosed?
- Was there a knowledge or skill deficiency?
- Were the needs organisationally important?
- Were the needs transferred to objectives?
- Were the organisational needs transferred to strategic organisational objectives?
- Were the prerequisite learning objectives derived from the overall training objectives?
- Were trainees assessed to determine the number of prerequisite learning objectives they were deficient in?
- Was the evaluation system designed to measure the achievement of the objectives?
- Was the training programme designed to meet the specific learning, training and organisational objectives?

PHASE 10: EVALUATE CHANGE DUE TO TRAINING AND DEVELOPMENT

The trainer uses summative evaluation to evaluate the final product with more emphasis being on programme appraisal using the outcome criteria. The trainer must take stock of the impact training had on the trainees' attitude, behaviour, skill and knowledge.

The outcome evaluation focuses on the four-level evaluation. In this evaluation, the following should be considered:

- Firstly the trainer must define how well the trainees have liked the training programme;
- Secondly, the trainer must deal with learning, and must therefore determine what knowledge, attitudes and skills were learned in the training; and

- The third level of this approach is concerned with behaviour. This outlines the relationship of learning (the previous measurement levels) to the actualisation of doing the job.

It is important for the trainer to be able to understand the difference between knowing principles and techniques and using those principles and techniques on-the- job.

4.6 CRITICAL ORGANISATIONAL SUCCESS FACTORS

Evaluation of training and development does not take place in a vacuum, but is influenced by various critical success factors. These factors include creating a culture, developing leadership, performance managament and creating a learning organisation.

Various organsiational factors are critical to the effective evaluation of training and development initiatives. Evaluation of training and development cannot be separated from organisational culture as culture directs the behaviour of employees. As a result, careful attention should be given to establishing a culture that is supportive for the attainment of training and development.

SUCCESS FACTOR 1: Create a training culture

The main aim of training and development is to improve the performance of individuals, teams and the organisation as a whole. This goal can only be achieved if the organisation has a culture that emphasises excellence, achievement and training goal attainment. To establish a training culture, organisations should:

- Have a shared vision;
- Encourage employee's development;

- Encourage employees to develop themselves;
- Encourage trainees, trainers and training managers to communicate with each other to find ways of improve training and development;
- Give trainees responsibility and accountability for their learning; and
- Value the opinion of trainees.

Training and development is a tool through which the organisational culture is maintained and re-inforced.

SUCCESS FACTOR 2: Develop leadership

Leadership can be defined as the ability to exert influence on others, so that they will willingly and enthusiastically work towards the attainment of the group's goals. There is a notion that the behaviour of trainers and training managers contribute to the establishment of effective training and development. Trainers and training managers also influence the attainment of an effective training culture in the organisation. Leadership ensures effective training through:

- Encouraging trainees to take initiatives to solve problems themselves;
- Encouraging team work; and
- Serving as good role models to employees.

SUCCESS FACTR 3: Create a learning organisation

Learnining is essential for future performance as it creates the ability in employees to solve problems in a creative and innovative manner. Learning should therefore, be incorporated into the strategic organisational goal through:

- Encouraging employees to develop and educate themselves;
- Providing technology and opportunity for employees;

- Providing training opportunities for all employees to improve their various skills, knowledge and competencies; and
- Facilitating learning for all its members and the evaluation of such training and development initiatives.

Training should take place in an environment where learning is encouraged, and at the same time, performance is effectively managed.

SUCCESS FACTOR 4: Develop an effective performance management system

Various guidelines are provided for an effective performance management system. The key to an effective performance management system is to align both team and individual performance to the current strategic organisational goals. Training managers, line managers and senior management play a crucial role in performance management by promoting employee commitment, motivation, retention and development. Effective performance management strategies are necessary during the performance review. These strategies include:

- Setting meaningful, attainable expectations aligned with the vision, and mission and the broad objectives of the training programme;
- Approaching this process as a collaborative effort, engaging trainees in the process;
- Providing employees acess to the necessary tools, resources and provide a supportive environment that enhances performance;
- Continually assessing and communicating performance progress;
- Providing for on-going coaching, mentoring and active pursuit of new knowledge and learning;
- Providing trainees with mid-year progress reviews and final evaluation feedback; and

- Appreciating employee performance through the use of many available forms of recognition and reward.

4.7 CONCLUDING REMARKS

This chapter focused on evaluating training and development. It can be concluded that evaluation is an important and integral part of successful training and development. Evaluation can be facilitated through the use of effective strategies, techniques, appropriate approaches, and through the implementation of a performance-management system as has been suggested earlier in the chapter. Also, the fundamentals of evaluation need to be understood in order to communicate the importance of evaluation to trainers and training managers alike.

Evaluation of training and development assists managers realise change that occurs due to training. Therefore one of the reasons for evaluating training is to determine effectiveness at individual, team and organisational levels.

Performance management is based on a participative decision-making process where individual employees are able to explain their training needs whilst allowing managers to incorporate individual needs into departmental training priorities and thus aligning individual development with departmental effectiveness and efficiency. The whole principle of the evaluation of training and development initiatives is important to the implementation of and management of the learning organisation.

CHAPTER 5

EMPIRICAL RESEARCH METHODOLOGY AND ANALYSIS OF THE BIOGRAPHICAL DETAILS OF RESPONDENTS

5.1 INTRODUCTION

In chapter four, a model for evaluating training and development initiatives was presented. This model was developed from various theoretical guidelines for evaluating training and development and from theoretical evaluation models. Chapter two focused on the historical development of the Botswana public service and reform programmes, chapter three on the conceptual framework of training and development and chapter four on evaluating training and development.

The objective of this chapter is to describe the research methodology that was used during this study. The chapter focuses on professional research and design, the population, questionnaire, pilot study, survey and survey response rate. The bibliographical information gathered during the survey is also presented here and discussed.

5.2 PROFESSIONAL RESEARCH DESIGN

De Vos, Strydom, Fouche and Delport (2002, p.50) perceive professional research as aimed not only at problem-solving, but also the development of scientific knowledge. Saunders, Lewis and Thornhill (2000, p.92) define a research project as the overall approach that is followed to answer research questions. For this reason, it is important that the researcher should give enough thought to the research questions he/she wants answered. The research design utilised for this study emerged from identifying the main problem and related sub-problems. The main problem was:

What strategies can be used by the Botswana public service to evaluate the effectiveness of training and development initiatives?

An analysis of the main problem resulted in the identification of four sub-problems:

SUB-PROBLEM ONE:
What outcomes are expected from training and development initiatives?

SUB-PROBLEM TWO:
What evaluation strategies can be used to determine whether training and development initiatives are effective?

SUB-PROBLEM THREE:
What strategies, as in sub-problem two, are used by the Botswana public service to evaluate training and development initiatives?

SUB-PROBLEM FOUR:
What strategies can be used by the Botswana public service to evaluate training and development initiatives?

The following broad procedures were adopted to solve the main and sub-problems:

In chapter two, the historical background of the Botswana public service and its reform programmes were presented. Attention was given to whether the Botswana public service reform programmes have improved service delivery. In chapter three, a conceptual framework for training and development was presented and in chapter four, a review of the literature on the evaluation of training and development was presented with the aim of coming up with strategies for evaluating training and development initiatives.

In order to resolve sub-problems three and four, a model for evaluating training and development initiatives, which was presented in chapter five, was used as a basis to develop the survey questionnaire. The survey questionnaire was administered to ministries and departments in the Botswana public service located in Gaborone, Botswana. The results collected from the statistical analysis of the responses collected through the survey, form the basis for recommendations made with regard to evaluating training and development.

5.3 THE EMPIRICAL STUDY

The empirical study was conducted by means of a survey, which allowed for the collection of a large amount of information. A survey gives the researcher more control over the research process, but he/she should then spend adequate time on developing and piloting the questionnaire (De Vos, et al, 2002, p.94). In this section, the population, the questionnaire, the pilot study, the survey and the research response rate are discussed in detail. The bibliographical information collected during the survey is also presented and discussed.

5.3.1 Population and sampling

While planning a study, a researcher has to decide whether to include the whole population or only a sub-set of the population in the empirical study. According to De Vos, et a.l (2002, p.199) and Saunders, et al. (2000, p.150), a population (a universum) can be considered as a full set of cases that reflect the characteristics that the researcher is interested in. A population does not necessarily consist of people. A population is too big to include in a study and therefore, a representative sample from the population is selected. A range of sampling can be used to select a representative sub-set of the population. Saunders, et al. (2000, p.151) indicate that sampling is justified when it is impractical, expensive and too time-consuming to include the entire population. Sampling techniques are divided into probability and non-probability sampling. In the case of probability sampling, the sample is

statistically chosen at random, which gives every unit of the population the same chance to be selected for participation in the study. Non-probability sampling is more subjective in nature as the researcher exercises more control over the selection of units (De Vos, et al, 2002, p.200). Non-probability sampling was used in this study as the population was small.

The target population for this study consisted of all ministries and departments in the Gaborone area that employed more than fifty employees. The administration of the questionnaire is discussed in paragraph 5.3.4.

5.3.2 The questionnaire

Saunders, et al. (2000, p.279) indicate that the questionnaire is a suitable data collecting method for the identification and description of different variables, such as those found in organisational practices or in the opinions or attitudes of people. The careful design of the individual questions, sensible lay-out of the questionnaire, coherent explanation of the purpose of the questionnaire and pilot testing all contribute to better response rates, and maximise the validity and reliability of the questionnaire. The development of the questionnaire used in this study is discussed below.

5.3.2.1 Development of the questionnaire

The development of the questionnaire used in this study was based on the theoretical model for evaluating training and development that was presented in chapter five.

Struwig and Stead (2001, p.89) provide the following guidelines for the development of a questionnaire:

- Provide clear and precise instructions;
- Divide the questionnaire into logical sections according to subject;
- Start with easier questions;
- Proceed from general to specific questions;
- Avoid technological terms;
- Employ the respondent's vocabulary; and
- Minimise the number of questions.

Struwig and Stead (2001, p.90) also provide guidelines for the content and phrasing of the questions. The aim is to phrase questions in such a manner that respondents will accurately interpret each question and not be influenced to give specific answers.

In addition, the researcher has to carefully consider the format or structure of the questions. Types of questions that could be included in a questionnaire are open-ended questions, multiple-choice questions, check-lists, dichotomous questions that require a yes or no answer, ranking questions and scaled-response questions. According to Struwig and Stead (2001, p.95), scaled response questions such as the Likert-type scale, are preferable to other forms of question as they provide ordinal data.

The questionnaire used for the purposes of this study was constructed to meet the criteria suggested by Struwig and Stead (2001, p.95). The questionnaire was divided into three sections:

- Section A required biographical data that consisted of open-ended, multiple choice and dichotomous questions;
- Sections B and C were formatted according to the Likert-type scale. Section B contained questions related to the 12 training evaluation strategies;and

- Section C contained questions related to ethical issues that have to be taken into consideration when evaluating training and development in an organisation.

The careful design of a questionnaire contributes to its reliability and validity as a measuring instrument.

5.3.2.2 Reliability and validity of the measuring instrument

Reliability and validity are important concepts in the context of measurement as they contribute to the objective and scientific nature of research (De Vos, et al. 2002, p.166).

5.3.2.2.1 Reliability

Leedy (1997, p.35) defines reliability as the consistency with which a measuring instrument performs. Reliability can be determined by means of test-retest, internal consistency and alternative forms of approach (Saunders, et al. 2000, p.307)

The test-retest method implies that a questionnaire is administered twice to the same group of people. The disadvantage of this method is that people may be reluctant to complete the same questionnaire twice, and if the researcher allows a lengthy interval between testing, the likelihood of eliciting the exact same responses will be reduced. In this study, these problems were overcome by making use of the pilot study, which served as a type of test-retest method. The responses received from the pilot study could be compared with those received from the survey in order to make a judgement about the reliability of the questionnaire.

Internal consistency involves correlating responses to each question with those received to other questions, or to questions within the same sub-section of the questionnaire. After administering the questionnaire used in this study, the

responses to sections B and C were statistically tested for internal consistency. The Cronbach alphas for each sub-scale were acceptable.

Alternative form implies checking the responses given to similar questions to verify the similarity of the responses. This method is subjective in nature, as the researcher has to judge the similarity of the questions. It is also possible that respondents might give dissimilar responses due to fatigue experienced while answering a long questionnaire. Though alternative form gives an indication of reliability, consistency is not proven without any doubt. Alternative form reliability testing was not applied in this study.

5.3.2.2.2 Validity

Validity refers to the extent that a measuring instrument measures what it is supposed to measure (Leedy 1997, p.32). De Vos, et al. (2002, p.167) identify four types of validity, namely content validity, face validity, criterion validity and constructive validity.

Content validity refers to the extent to which the measuring instrument measures the actual concepts related to the topic.

Face validity is closely related but differs in the sense that it measures ‘apparent’ validity rather than ‘actual’ validity. Inadequate face validity might cause resistance in respondents and therefore contaminate the results.

Criterion validity relates to how the performance on one measure relates to the performance on another measure, called a criterion. It is essential that the criterion selected be reliable and valid so that it can be used as a standard against which to measure the results of the measuring instrument (Leedy 1997, p.33).

Construct validity indicates the degree to which a measuring instrument successfully measures a theoretical construct. In the case of this study, construct validity implies the extent to which the measuring instrument measures the evaluation of training and development strategies aimed at improving performance in the Botswana public service.

The following actions were taken to improve the content, face and construct validity of the questionnaire:

- The development of the questionnaire was based on the model of evaluating training and development initiatives, which is presented in chapter five. This model is based on the literature study presented in chapters two, three and four; and
- The questionnaire was subjected to the scrutiny of academics and professionals in the field of human resources management as part of a pilot study.

5.3.2.3 Questionnaire covering letter

The purpose of a covering letter is to explain the reasons for the survey. Saunders, et al. (2000, p.303) suggest the following guidelines for the design of a covering letter:

- Use good quality paper, include an official letterhead and telephone number;
- Use a 12-point font size and one sheet only;
- Use the recipient's title and name if possible;
- Explain the purpose of the questionnaire;
- Indicate confidentiality or anonymity;
- Explain how the results will be used;
- Provide a contact number or address;
- Thank the respondent for his/her participation in the study; and
- Provide a signature, name and surname.

The above suggestions were considered in the design of the covering letter (Refer to Appendix 1).

5.3.3 Pilot study

De Vos, et al. (2002, p.211) perceive a pilot study as a dress rehearsal of the main study. The purpose of a pilot study is to administer the questionnaire to a small number of people who possess similar characteristics to the target group in order to ensure that the respondents will not encounter problems with completing the questionnaire and that the researcher will not have problems with the analysis of the responses. A pilot study also allows an assessment of the validity and reliability of the questionnaire (Saunders, et al. 2000, p.304). A pilot study can elicit information about the time it took to complete the questionnaire, the clarity of instructions and questions, whether respondents felt uneasy about answering certain questions, whether major topics were omitted and whether the lay-out was clear and attractive. In addition, respondents must be encouraged to suggest any other improvements to the questionnaire.

The approach used for the pilot study in this project was as follows:

- The questionnaire was given to two senior academics, who also occupied managerial positions. Both these academics had experience in human resources management and training and development;
- The questionnaire was given two to statisticians who assisted with the statistical analysis. These individuals provided feedback on the content, wording and layout of the questionnaire. This was then considered and used to improve the questionnaire;
- The questionnaire was given to four senior human resources practitioners who were requested to complete and evaluate the questionnaire in terms of the following;

- length of time to complete the questionnaire;
- clarity of the instructions, questions and words;
- layout; and
- any other topic that should be added.

The comments received from the pilot study were used to refine the questionnaire so that it could be distributed to the target group of trainers and training managers.

5.3.4 Administration of the questionnaire

The population for the study consisted of trainers, training co-ordinators and training managers in ministries and the department in the Botswana public service in Gaborone, Botswana, which employed more than 50 employees, who were compiled from various databases. In the absence of training managers, the name of the most senior person in the training department was obtained. It was therefore ascertained that the potential respondents could be considered as specialists in the field of training and development and that they could, due to their knowledge and experience, make a constructive contribution to identifying the best and most effective strategies for evaluating training and development initiatives. Saunders, et al. (2000, p.308) state that the objective of administering a questionnaire is to gain access to the sample (in this case the population) and to maximise the response rate.

The following procedure was followed in administering the questionnaire:

- Each potential respondent was contacted by telephone to advise him/her to expect the questionnaire. According to Saunders, et al. (2000, p.308), prior notification establishes personal contacts with respondents and subsequently raises the perceived importance of the study. Each respondent was questioned about the preferred method of delivery. Eighty-seven per cent of the target group preferred to receive and return the questionnaire by e-mail,

while thirteen per cent of the target group preferred a facsimile. According to Struwig and Stead (2001, p.103), e-mails can be used in the same manner as traditional mail surveys. The advantage of an e-mail is that it is easy, cheap and fast to conduct. The researcher, however, needs to use a good administrative system to manage the process well.

- The covering letter and the questionnaire were e-mailed to each potential respondent and faxed to those who preferred a facsimile;
- Each person who returned the questionnaire was thanked, either by means of email or telephonically, for his/her contribution to the study;
- A follow-up email was sent or a telephone call made to each potential respondent after one week to remind non-respondents to answer; and
- The second follow-up was conducted after three weeks to potential respondents who had not yet responded. A copy of the covering letter and the questionnaire were included.

According to Saunders, et al. (2000, p.310), a third follow-up may become necessary if the response rate is low. Recorded delivery by post, telephone calls and even calling a person can be used.

5.3.5 Response rate

The covering letter and the questionnaire were sent to 100 respondents in various ministries and departments in the Botswana public service sector. Eighty-four per cent of the respondents completed the questionnare while 16 per cent either did not answer all the questions or were not available when the researcher was collecting the questionnaires.

5.4 PRESENTATION AND ANALYSIS OF THE BIOGRAPHICAL INFORMATION

Section A of the questionnaire required the respondents to provide information about themselves, such as age, position held, length of service, qualifications and others. These questions were included in the questionnaire due to their potential value as independent variables to probe similarities or differences in the reponses to various sections of the questionnaire. The information obtained from the questions contained in Section A is presented and discussed below.

TABLE 5.1

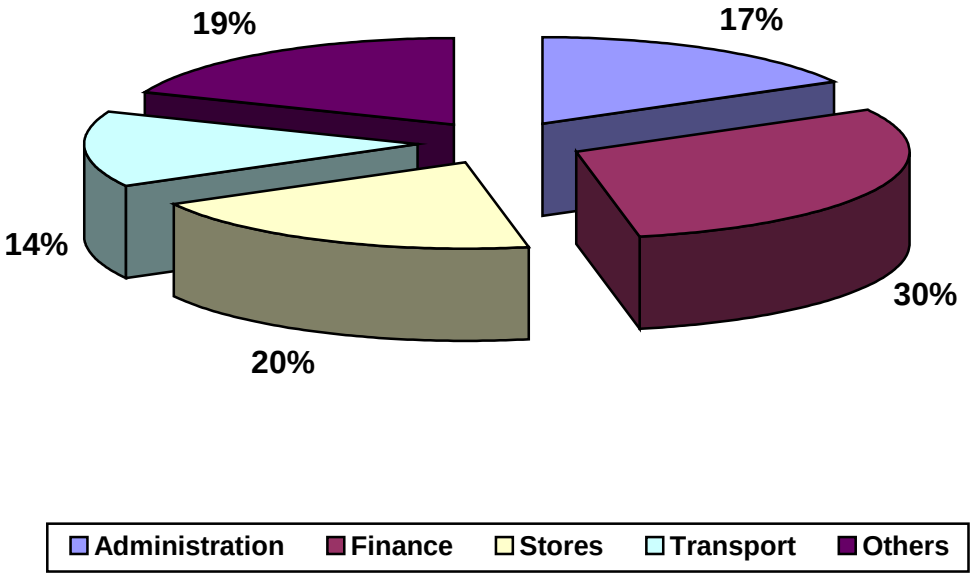
FUNCTIONAL AREA OF RESPONDENTS

Department	Frequency	Percentage
Administration	14	17
Finance	25	30
Stores	17	20
Transport	12	14
Others	16	19
Total	**84**	**100**

It is evident that most respondents are in the finance department in their respective ministries.

CHART 5.1

FUNCTIONAL AREAS OF RESPONDENTS



Own construct

TABLE 5.2

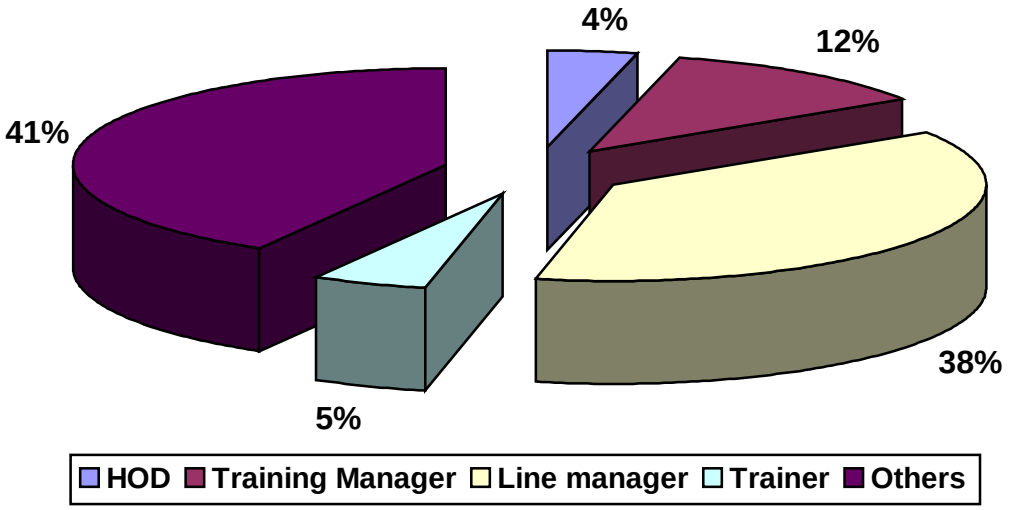
POSITION HELD BY RESPONDENTS

Position	**Frequency**	**Percentage**
HOD	3	4
Training manager	10	12
Line manager	32	38
Trainer	4	5
Others	35	42
Total	**84**	**100**

From Table 5.2 and Chart 5.2, it is evident that the majority of respondents that are employed are either supervisors or employees and are represented by 42% per cent, while the minority of respondents that are represented by 4 % are Heads of department in their respective ministries or departments.

CHART 5.2

POSITION HELD BY RESPONDENTS



Own construct

Table 5.3 and Chart 5.3 indicate the number of responses according to the respondents' length of service. Table 5.3 indicates that the majority of respondents, 60 per cent (60%) represent those respondents with 11-15 years of service, while one per cent (1 %) represents the minority of respondents with 0-5 years of service.

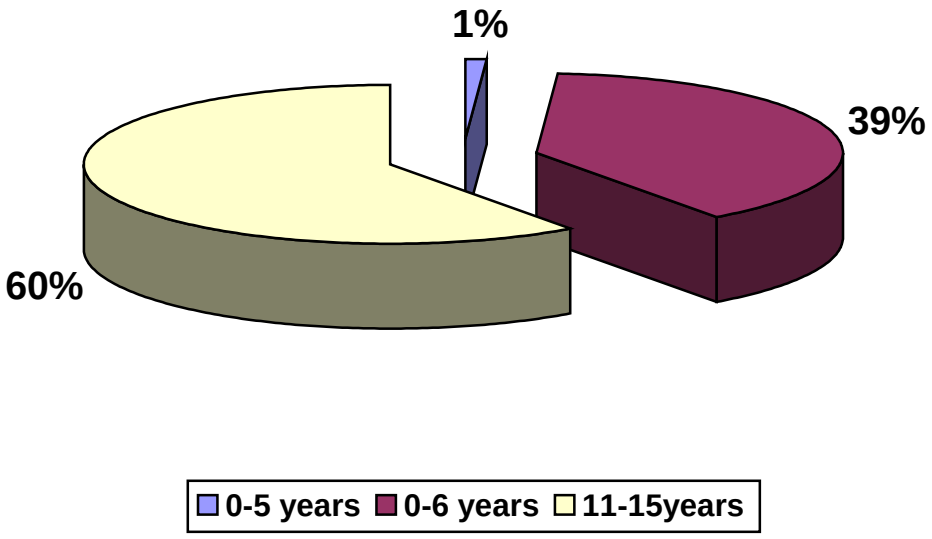
TABLE 5.3

RESPONDENTS' LENGTH OF SERVICE

Length of service	Frequency	Percentage
0-5 years	1	1
6-10 years	33	39
11-15 years	50	60
Total	**84**	**100**

CHART 5.3

RESPONDENTS' LENGTH OF SERVICE



Own construct

Question A4 required of the respondents to indicate their age. This provides an indication of the age of both the majority and minority responses that participated in the survey. The results are presented in Table 5.4 and Chart 5.4. The majority of respondents are of the age between 41-50, while the minority of respondents are represented by two per cent (2 %) and are of the ages 21-30.

According to the rate of responses in Table 5.4 and Chart 5.4, the majority of respondents are of the age 41-50 which represented by 55 per cent (55%) of respondents, while the minority one per cent (1%) represents respondents over 60 years.

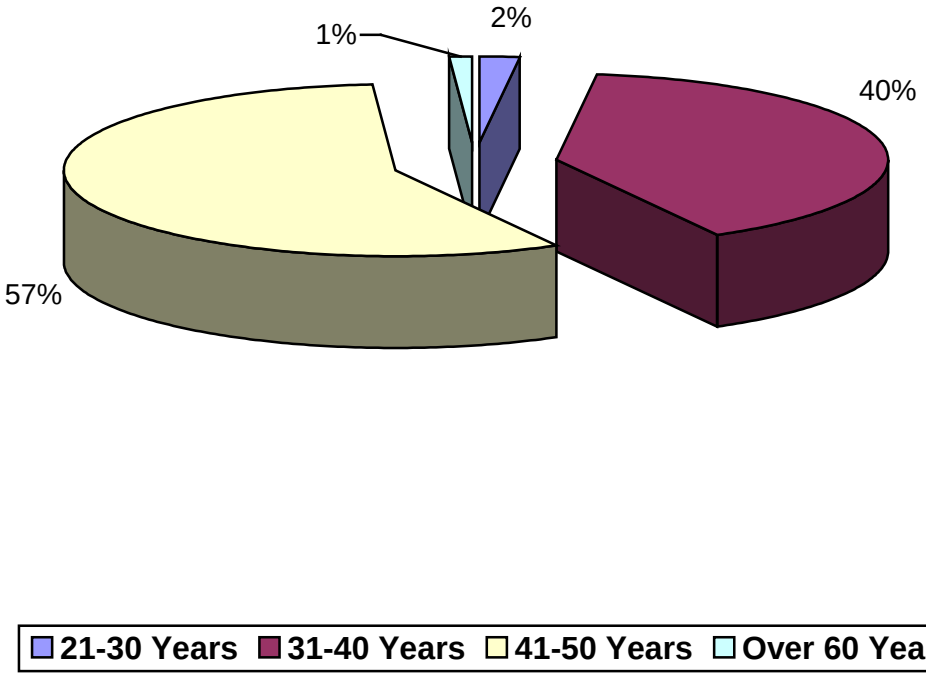
TABLE 5.4

AGES OF RESPONDENTS

Age	**Frequency**	**Percentage**
21-30	2	2
31-40	34	40
41-50	47	55
over 60	1	1
Total	**84**	**100**

CHART 5.4

AGES OF RESPONDENTS



Own construct

Question A5 required respondents to indicate their qualifications. According to Table 5.5 and Chart 5.5, the majority of respondents, 58 per cent, are degree holders, while Junior Certificate holders are presented by one per cent (1%).

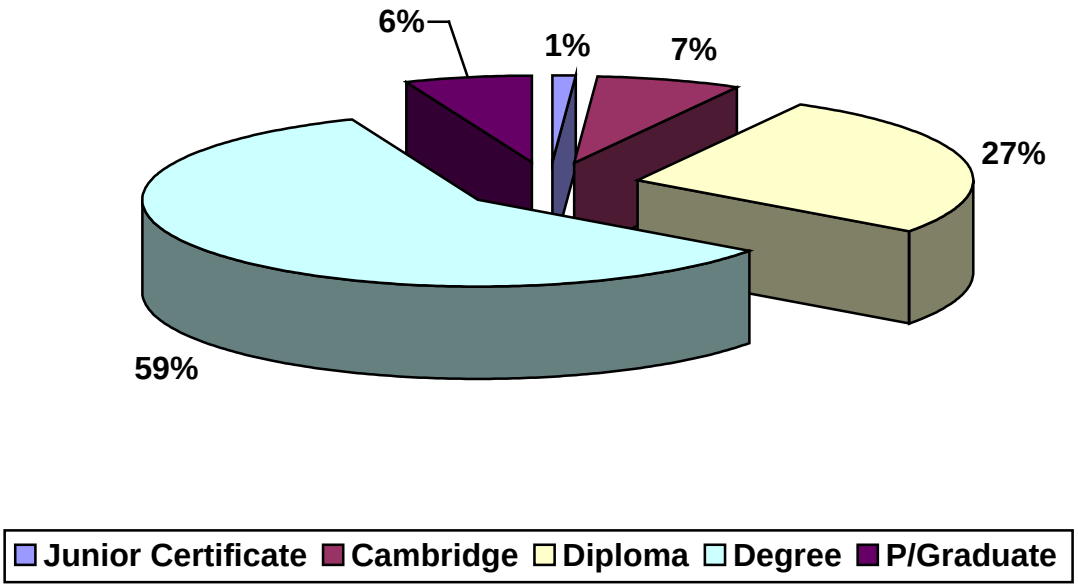
TABLE 5.5

RESPONDENTS' QUALIFICATIONS

Qualification	Frequency	Percentage
Junior certificate	1	1
Cambridge	6	7
Diploma	23	27
Degree	49	58
Post graduate Degree	5	6
Total	**84**	**100**

CHART 5.5

RESPONDENTS' QUALIFICATIONS



Own construct

Question A6 required respondents to indicate whether or not they had attended a course or workshop within the last three months. According to Table 5.6 and chart 5.6, the overwhelming majority, ninety six per cent of the respondents had attended a course or workshop in the last three months, while the minority, four per cent 4% of respondents indicated that they had not attended a course or workshop in the last three months.

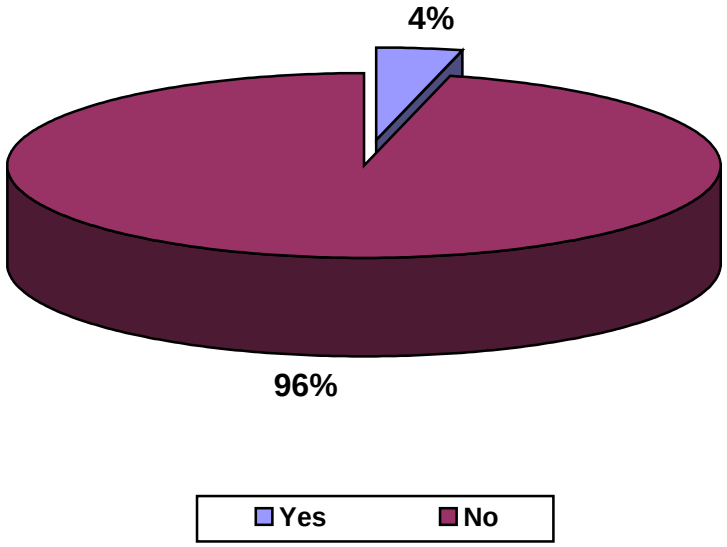
TABLE 5.6

NUMBER OF RESPONDENTS WHO ATTENDED A COURSE OR WORKSHOP IN THE LAST THREE MONTHS

Respondents who attended seminar or workshop	**Frequency**	**Percentage**
Yes	81	96
No	3	4
Total	**84**	**100**

CHART 5.6

NUMBER OF RESPONDENTS WHO ATTENDED A COURSE OR WORKSHOP IN THE LAST THREE MONTHS



Own Construct

Question A7 required respondents to indicate whether or not their ministries or department had a formal training evaluation in place. Table A7 and Chart 5.7 indicate that an overwhelming majority of respondents 99 per cent indicated that their ministries or departments had no formal training evaluation in place, while one per cent indicated that indeed their ministries or departments had a formal training evaluation in place.

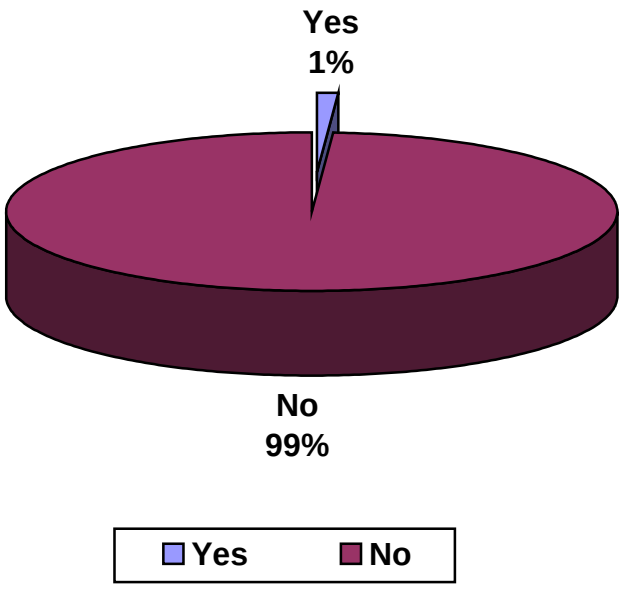
TABLE 5.7

REPSONDENT WHOSE MINISTRIES OR DEPARTMENTS HAVE A FORMAL TRAINING EVALUATION IN PLACE

Whether Ministry/department with formal evaluation	Frequency	Percentage
Yes	1	1
No	83	99
Total	**84**	**100**

Chart 5.7

RESPONDENTS WHOSE MINISTRIES AND DEPARTMENTS HAVE A FORMAL TRAINING EVALUATION IN PLACE



Own Construct

Question A8 required respondents to indicate whether or not their ministries or departments had a training policy. According to the results in Table 5.8 and Chart 5.8 the majority of respondents 95 per cent indicated that their ministries or department did not have a training policy, while the minority of respondents represented by five per cent 5%, indicated that their ministries or departments had a training policy.

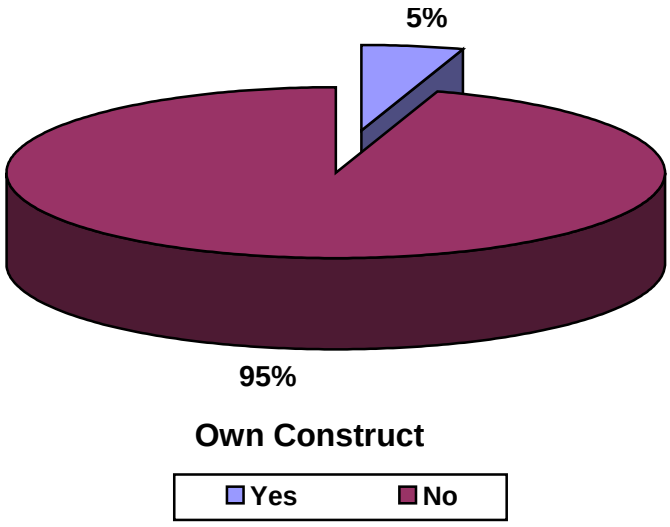
TABLE 5.8

NUMBER OF RESPONDENTS WHOSE MINISTRIES OR DEPARTMENTS HAS A TRAINING POLICY

Whether Ministry/department have a training policy	**Frequency**	**Percentage**
Yes	4	5
No	80	95
Total	**84**	**100**

CHART 5.8

NUMBER OF RESPONDENTS WHOSE MINISTRIES OR DEPARTMENTS HAS A TRAINING POLICY



There is a link between training and employee performance appraisal. Therefore question A9, required respondents to indicate how regularly their performance was appraised by their superior as a way of informing training decisions. Table 5.9 and Chart 5.9 indicate that the majority of respondents represented by 63 per cent of respondents indicated that their performance is never appraised by their superiors, while the minorities, 33 per cent, indicated that their performance was appraised at least once a year.

TABLE 5.9

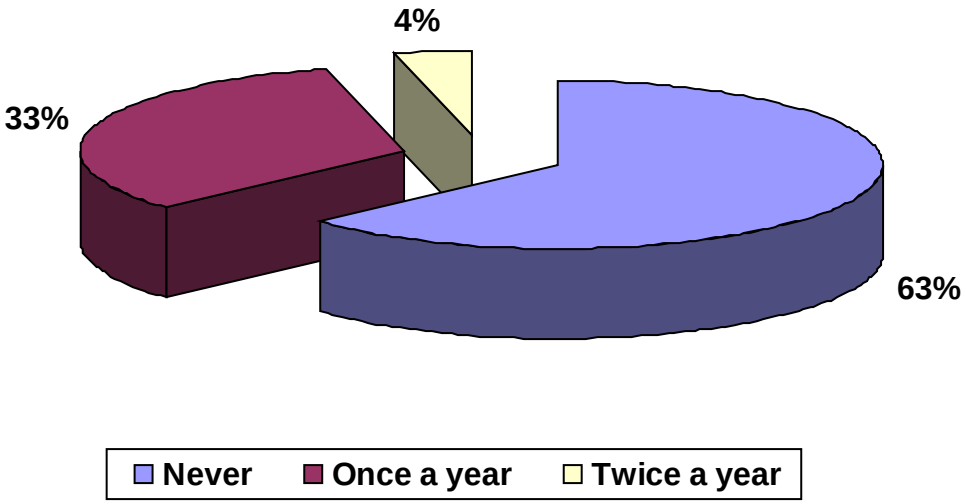
FREQUENCY AT WHICH RESPONDENTS' PERFORMANCE IS BEING APPRAISED

How regular respondents' performance is being appraised	Frequency	Percentage
Never	53	63
Once a year	28	33
twice a year	3	4
Total	**84**	**100**

According to the results in Table 5.10 and Chart 5.10, the majority of respondents, represented by 64 per cent indicated that they never appraised their employees' performance, while the minority of respondents, represented by four per cent indicate that they appraise their employees' performance at least twice a year.

CHART 5.9

FREQUENCY AT WHICH RESPONDENTS' PERFORMANCE IS BEING APPRAISED



Own Construct

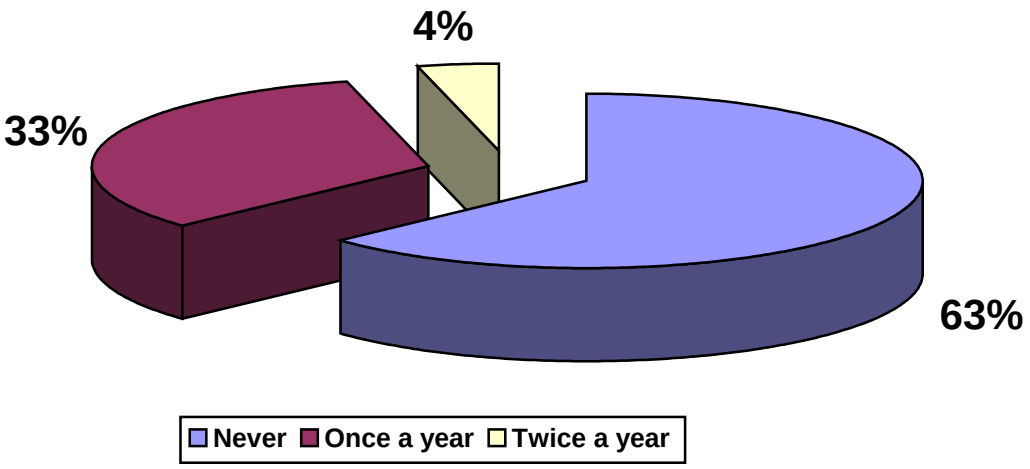
TABLE 5.10

FREQUENCY AT WHICH RESPONDENTS APPRAISE THEIR SUBORDINATES' PERFORMANCE

How often respondents appraised their their subordnates' performance	Frequency	Percentage
Never	53	63
once a year	28	33
twice a year	3	4
Total	**84**	**100**

CHART 5.10

FREQUENCY AT WHICH RESPONDENTS APPRAISED THEIR SUBORDINATES' PERFORMANCE



Own Construct

Question A11 required respondents to indicate the rate at which they perceived training as a tool to improve organisational performance. Table 5.11 and Chart 5.11 indicate that the majority of respondents represented by 90 per cent perceive training to be ineffective 55 per cent and 35 per cent rate training as very ineffective, while a minority of respondents, represented by 10 per cent rate training as an effective tool to improve organisational performance.

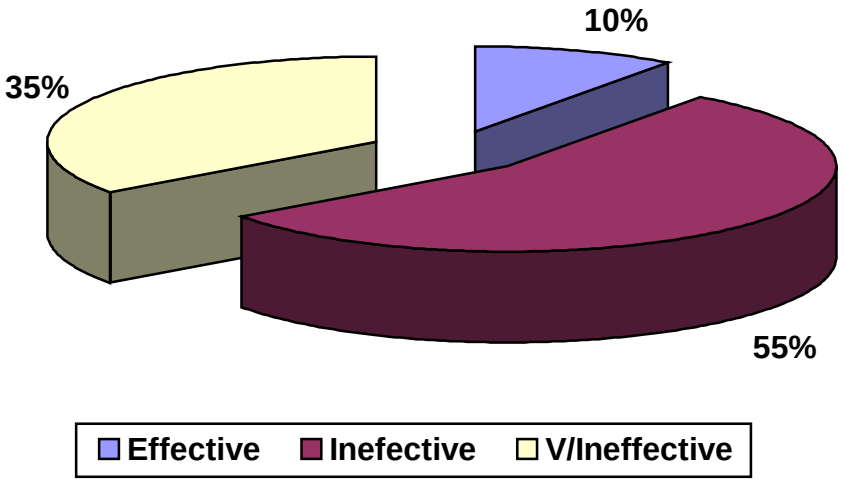
TABLE 5.11

THE RATE AT WHICH RESPONDENTS PERCIEVE TRAINING A TOOL TO IMPROVE ORGANISATIONAL PERFORMANCE

Training as tool for improving performance	Frequency	Percentage
Effective	8	10
Ineffective	47	55
Very ineffective	29	35
Total	**84**	**100**

CHART 5.11

THE RATE AT WHICH HOW RESPONDENTS PERCEIVE A TOOL TO IMPROVE PERFORMANCE



Own construct

It is evident that almost all the ministries and departments (95%) had no formal training evaluation in place. Regardless of the number of respondents who indicated that they had attended a course or workshop, it is clear that these training programmes or initiatives were not evaluated. It is also evident that the majority of respondents (95%) indicated that there was no training policy in their ministries or departments to provide guidelines on how effective training should be conducted and for its evaluation. It has been discussed under section 4.4.6.2 that training is directly linked to performance management and more specifically to an employee's performance appraisal.

Various authors have emphasised how important performance appraisal is during the training needs analysis. In the absence of a systematic performance appraisal, training needs will be unclear and not aligned to organisational strategic training and development objectives. According to the results, 95 per cent of the respondents indicated that their performance was never appraised while only 5 per cent agreed that their performance was being appraised. Furthermore, 94 per cent of line managers, trainers and supervisors indicated they did not appraise their subordinates' performance. This is a clear indication that indeed the performance management system used by the Botswana public service does not influence training and development decisions, a senario which negatively impacts on training and development relevance and effectiveness. It is also evident that the majority of respondents, 55 per cent, and 35 per cent, rate training as ineffective and very ineffective as a tool to improve organisational performance. Only 10 per cent of respondents believed that training is an effective tool to improve organisational performance.

5.5 CONCLUSION

This chapter presented the research methodology used during this study and focused on professional research and design, the population, the questionnaire, the pilot study, the survey and the survey response rate. The biographical information gathered during the survey (Section A of the questionnaire) was also presented and discussed.

In the next chapter, the results obtained from the rest of the questionnaire are presented and discussed to determine the extent to which respondents agreed with the strategies for evaluating training and development initiatives which were identified in the theoretical study.

CHAPTER 6

ANALYSIS AND INTERPRETATION OF RESULTS

6.1 INTRODUCTION

In chapter five, the research methodology used in the study was presented and discussed. The data collected from Section A of the questionnaire were presented and analysed.

The aim of this chapter is to assist in the resolution of sub-problems two, three and four.

SUB-PROBLEM TWO:
What evaluation strategies can be used to determine whether training and development initiatives are effective?

SUB-PROBLEM THREE:
What strategies, as in sub-problem, two are used by the Botswana public service to evaluate training and development initiatives?

SUB-PROBLEM FOUR:
What strategies can be utilised by the Botswana public service to evaluate training and development initiatives?

The results from Sections B to C of the survey questionnaire are presented in the same order as they appeared in the questionnaire. The questionnaire consists of three main sections, namely:

- Effective training and development initiatives (Section B) aimed at providing guidelines on the various training steps to be taken to achieve the desired training objective;
- Evaluation of training and development (section B) aimed at determining the need for training and development and how training and development improve both individual, team and organisational performance; and
- Critical success factors (Section C) aimed at creating an environment where training and development initiatives may be conducted and evaluated to improve both individual and organisational performance.

The findings are presented in tabular form. These tables were compiled with the aid of computer print-outs generated by means of the SPSS version 11.0 programme.

6.2 QUANTITATIVE ANALYSIS OF RESULTS

Descriptive statistics were used to analyse the raw data obtained from the survey. The descriptive data included measures of central tendency and the dispersion of variables. Sections B and C of the questionnaire were developed according to a Likert-type scale and for each item, the respondents had to indicate whether they strongly agreed, agreed, were uncertain, disagreed or strongly disagreed with each statement. Numerical values, ranging from one (strongly agree) to five (strongly disagree) were used to evaluate the quantitative analysis of the results. The quantitative analysis of the results from Sections B to C is presented below.

TABLE 6.1

MEANS AND STANDARD DEVIATIONS OF SCORES FOR STRATEGY 1

	Identify training needs	**N**	**Mean**	**Std Deviation**
1.1	My trainer and I have discussed the training needs and priorities which will assist me to improve my performance	84	3.2	0.477
1.2	My trainer and I have reached an agreement on the needs and objectives of my training	84	3.2	0.567
1.3	Training needs and objectives are related to organisational goals	84	3.2	0.522
1.4	In my organisation training needs are a product of performance appraisal	84	3.4	0.528
1.5	In my organisation, deficiency in knowledge and skills is measured against the individual employee's performance	84	3.3	0.474

An analysis of the means score and standard deviation for strategy one revealed a disagreement of mean of 3.2. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow (0.474) and (0.567), indicating that the respondents were relatively consistent in the way they responded to the items in this section.

TABLE 6.2

MEANS AND STANDARD DEVIATION OF SCORES FOR STRATEGY 2

	Plan strategically for training	**N**	**Mean**	**Std Deviation**
2.1	I am aware of the strategic direction of my ministry or department	84	3.107	0.491
2.2	My trainer /training manager reminds me of the overall strategic training goals and objectives	84	3.202	0.509
2.3	I am involved in the planning for strategic training of my department	84	3.297	0.459
2.4	I understand the overall strategic business goals and those of other departments in my ministry	84	3.309	0.465

An analysis of the means scores and standard deviations for strategy two revealed an aggregate mean of 3.2. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging from 0.459 and 0.509, indicating that respondents were relatively consistent in the way they responded to the items in this section.

An analysis of the mean and standard deviation of the variables in Table 6.2 revealed a mean of 3.74. All the mean scores for the variables in this section were above three, indicating disagreement to strongly disagree in all the items. The standard deviation indicated that the spread of the results was relatively narrow, ranging from 0.420 and 0.478. The variable “I feel confident that I can do my job” obtained the highest mean (3.773) and the lowest standard deviation (0.420), while the variable “I have clear objectives to achieve in my job” obtained the lowest mean (3.714) and the highest standard deviation (0.454). These results confirm the

theoretical findings which indicated that establishing training objectives is an important strategy in the effective training and development process (3.5). It was highlighted in the theoretical study that training objectives identify what training and development initiatives must deliver to address a performance deficiency. It is therefore important that for the training objectives to be clear, both the trainer and trainee need had to know what is expected of them.

TABLE 6.3

MEANS AND STANDARD DEVIATIONS OF SCORES FOR STRATEGY 3

	Establish training objectives	**N**	**Mean**	**Std Deviation**
3.1	I have clear objectives to achieve in my job	84	3.714	0.454
3.2	My trainer/training manager regularly engages with me in discussions about the goals I have to achieve	84	3.654	0.478
3.3	Both my trainer/training manager and I have a good understanding of my training objectives	84	3.750	0.435
3.4	My trainer/ training manager discuss what skills I require to improve my job performance	84	3.761	0.428
3.5	I feel confident that I know how to do a good job	84	3.773	0.420

Analysis of the means scores and standard deviations for strategy four revealed an aggregate mean of 3.2. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging from between (0.420) and (0.478) indicating that the respondents were relatively consistent in the way they responded to the items in this section

TABLE 6.4

MEANS AND STANDARD DEVIATIONS OF SCORES FOR STRATEGY 4

	Design the training programme	**N**	**Mean**	**Std Deviation**
4.1	I am clear on the purpose of training	84	3.059	0.323
4.2	My trainer/training manager involves me in designing a training programme	84	3.130	0.459
4.3	My trainer/training manager engages in other dialogue/consultative processes to decide the suitable training programme	84	3.202	0.459
4.4	My trainer understands the training design	84	3.285	0.504
4.5	My trainer understands who the trainees are when designing the training programme	84	3.321	0.518
4.6	My trainer determines the learning objectives before designing the training programme	84	3.357	0.529

Analysis of the means scores and standard deviations for strategy four revealed an aggregate mean of 3.2. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging between (0.323) and (0.529), indicating that the respondents were relatively consistent in the way they responded to the items in this section.

TABLE 6.5

MEANS AND STANDARD DEVIATIONS OF SCORES FOR STRATEGY 5

	Schedule of the programme	**N**	**Mean**	**Std Deviation**
5.1	My trainer/training manager schedules training during off-peak production periods	84	3.309	0.490
5.2	In my ministry/department courses are scheduled in such a manner that continuity is maintained during the delivery of a training programme	84	3.404	0.456
5.3	In most cases courses are conducted both on and off the job depending on the requirements of the training programme to enable trainees to devote much of their time to their studies	84	3.452	0.500

Analysis of the means scores and standard deviations for strategy five revealed an aggregate mean of 3.4. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging between (0.490) and (0.500), indicating that the respondents were relatively consistent in the way they responded to the items in this section.

TABLE 6.6

MEANS AND STANDARD DEVIATIONS OF SCORES FOR STRATEGY 6

	Present the training programme	**N**	**Mean**	**Std Deviation**
6.1	During the presentation of the programme, my trainer/training manager makes provision for learning experiences	84	3.380	0.488
6.2	My trainer takes trainees' expectations on board when presenting a training programme	84	3.464	0.525
6.3	My trainer ensures that the right learning climate is created at the commencement of the training programme	84	3.488	0.526
6.4	My trainer considers pre-tests and post-tests to be of assistance to him/her later during the training evaluation	84	3.535	0.525
6.5	My trainer communicates his/her expectations to trainees as these expectations can influence training results	84	3.523	0.525

Analysis of the means scores and standard deviations for strategy six revealed an aggregate mean of 3.4. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging between (0.488) and (0.525) indicating that the respondents were relatively consistent in the way they responded to the items in this section.

TABLE 6.7

MEANS AND STANDARD DEVATIONS OF SCORES FOR STRATEGY 7

	Ensure transfer and implementation of programme	**N**	**Mean**	**Std Deviation**
7.1	My trainer facilitates the outcome of training by assisting trainees to be able to apply what they have learnt	84	3.428	0.544
7.2	On returning to my work my supervisor monitors trainees' performance as a way of ensuring that trainees apply what they have learnt	84	3.500	0.548
7.3	My trainer and supervisor are continuously in communication about trainees' performance well after the training programme is completed	84	3.571	0.497
7.4	My training manager and supervisors conduct both formal and informal appraisals to improve employee performance	84	3.583	0.495

Analysis of the means scores and standard deviations for strategy seven revealed an aggregate mean of 3.5. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging between (0.495) and (0.548), indicating that the respondents were relatively consistent in the way they responded to the items in this section.

Table 6.8

MEANS AND STANDARDS DEVIATIONS OF SCORES FOR STRATEGY 8

	Maintain training	**N**	**Mean**	**Std Deviation**
8.1	My trainer/ training manager identify what worked during training and maintain it during the next training session	84	3.421	0.565
8.2	My trainer believes that drastic changes in the training can create confusion amongst trainees and defeat the intended learning objectives	84	3.457	0.547
8.3	My trainer ensures that each employee receives information about his/her performance	84	3.464	0.569
8.4	My trainer and supervisor continously support trainees through re-inforcement and reward	84	3.500	0.526

Analysis of the means scores and standard deviations for strategy eight revealed an aggregate mean of 3.4. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging between (0.526) and (0.569), indicating that the respondents were relatively consistent in the way they responded to the items in this section.

TABLE 6.9

MEANS AND STANDARD DEVIATIONS OF SCORES FOR STRATEGY 9

	Evaluating training/learning	**N**	**Mean**	**Std Deviation**
9.1	My trainer establishes whether training needs were diagnosed from the onset	84	3.511	0.502
9.2	My trainer determines any knowledge or skill deficiencies	84	3.654	0.502
9.3	My trainer establishes whether or not the training needs were of organisational importance	84	3.678	0.518
9.4	My trainer establishes whether or not, during training, needs were transferred into training objectives	84	3.726	0.448
9.5	My trainer determines whether or not organisational needs were transferred to strategic organisational objectives	84	3.773	0.420
9.6	My trainer establishes whether or not the prerequisite learning objectives in which they are deficient are compensated for.	84	3.821	0.395
9.7	My trainer ensures that trainees are assessed to determine the number of prerequisite skills	84	3.821	0.385
9.8	My trainer establishes whether or not the evaluation system was designed to measure achievement of the objectives	84	3.821	0.385
9.9	My trainer establishes whether the training programme was designed to meet specific learning, training and organisational objectives	84	3.821	0.385

Analysis of the means scores and standard deviations for strategy nine revealed an aggregate mean of 3.6. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging between (0.385) and (0.518) indicating that the respondents were relatively consistent in the way they responded to the items in this section.

TABLE 6.10

MEANS AND STANDARD DEVIATIONS OF SCORES FOR STRATEGY 10

	Evaluating behaviour change/measuring change in performance	**N**	**Mean**	**Std Deviation**
10.1	My trainer evaluates any change in an employee's performance	84	3.654	0.478
10.2	My trainer assesses whether there has been any post-training employee's performance improvement	84	3.702	0.485
10.3	My trainer measures change in an employee's behaviour during the appraisal process to determine whether training has yielded any results	84	3.738	0.422
10.4	My trainer measures and determines any changes in team performance to assess the impact of training on team performance	84	3.761	0.428
10.5	My trainer determines any changes in the organisational efficiency and effectiveness that can be attributed to post-training performance of individuals and teams	84	3.773	0.420

Analysis of the means scores and standard deviations for strategy ten revealed an aggregate mean of 3.7. This suggests a tendency towards disagreement on all the statements. The standard deviations indicated that the spread was relatively narrow, ranging between (0.420) and (0.485), indicating that the respondents were relatively consistent in the way they responded to the items in this section.

In summary of the above analysis, it is evident that the majority of respondents disagreed or strongly disagreed that ministry/departments' training and development initiatives are not conducted systematically according to the eight strategies. Most importantly, it can therefore be concluded, that training and development initiatives are not evaluated according to strategies nine and ten, as indicated in the model.

From the above analysis, the following conclusion could be drawn: strategies one to eight were not adequately followed in the ministry/department where the study was conducted. In other words, the training process is not organised according to theoretical guidelines and the majority of respondents are of the view that the following strategies are not followed at all: Strategy 1 (Identify training needs and priorities), Strategy 2 Plan strategically for training, Strategy 3 (Establish training objectives), Strategy 4 (Design the training plan), Strategy 5 Schedule of training, Strategy 6 Present training, Strategy 7 Transfer and implement of training and Strategy 8 Monitor training.

The main problem the research study has come up with is that strategies can be used by the Botswana public service to evaluate the effectiveness of training and development initiatives.

From the above analysis it is evident that training and development initiatives are not evaluated in the ministry/departments where the study was conducted and therefore, it can be concluded that the Botswana public service does not evaluate its training and development endeavours. This is indicated by an overwhelming

majority of respondents who disagreed (19 per cent) and (75 per cent) who strongly disagreed that training and development initiatives are evaluated in their organisations. This accounts for the highest percentage of disagreed and strongly disagreed by respondents in the ten strategies presented in the above analysis.

In the next section, responses to the critical organisational success factors necessary for the effective training and development evaluation are presented and analysed.

6.2.1 CRITICAL ORGANISATIONAL SUCCESS FACTORS

These critical organisational success factors include: creating a training culture, developing an effective leadership, creating a learning organisation and development of an effective performance management system.

TABLE 6.11

MEANS AND STANDARD DEVIATIONS OF SCORES FOR CREATING AN EFFECTIVE TRAINING CULTURE

	Create an effective training culture	**N**	**Mean**	**Std Deviation**
1.1	In my organisation excellent service is always emphasized	**84**	**3.583**	**0.585**
1.2	In my organisation, employees are encouraged to develop themselves	**84**	**3.666**	**0.498**
1.3	My organisation encourages communication between trainer, training department staff and employees	**84**	**3.726**	**0.474**
1.4	My trainer and the rest of the training department value trainees' opinions on issues relating to training and development	**84**	**3.738**	**0.442**
1.5	In my organisation trainees are held accountable for their training and development	**84**	**3.726**	**0.448**

Analysis of the means scores and standard deviations for the first critical organisational success factors revealed an aggregate mean of 3.7. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging between (0.442) and (0.585), indicating that the respondents were relatively consistent in the way they responded to the items in this section.

TABLE 6.12

MEANS AND STANDARD DEVIATIONS OF SCORES FOR DEVELOPING EFFECTIVE LEADERSHIP

	Develop effective leadership	**N**	**Mean**	**Std Deviation**
2.1	In my organisation, trainers are developed into leaders	84	3.523	0.502
2.2	Trainers in my organisation encourage trainees to reach their potential	84	3.619	0.512
2.3	I perceive my trainer to be a leader	84	3.690	0.465
2.4	My organisation encourages trainees to solve their own problems themselves	84	3.702	0.459
2.5	Team work amongst trainees is encouraged	84	3.702	0.459

Analysis of the means scores and standard deviations for the second critical organisational success factor revealed an aggregate mean of 3.6. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging between (0.459) and (0.512), indicating that the respondents were relatively consistent in the way they responded to the items in this section.

TABLE 6.13

MEANS AND STANDARD DEVIATIONS OF SCORES FOR CREATING A LEARNING ORGANISATION

	Creating a learning organization	**N**	**Mean**	**Std Deviation**
3.1	My organisation encourages employees to develop and educate themselves	84	3.535	0.501
3.2	Employees are encouraged to learn from each other	84	3.535	0.590
3.3	Opportunities exist for employees to share organisational related information with each other	84	3.583	0.495
3.4	My organisation facilitates learning	84	3.821	0.385
3.5	My trainer serves as a good role model for me	84	3.785	0.412

Analysis of the means scores and standard deviations for the third critical organisational success factor revealed an aggregate mean of 3.6. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging between (0.412) and (0.590) indicating that the respondents were relatively consistent in the way they responded to the items in this section.

TABLE 6.14

MEANS AND STANDARD DEVIATIONS OF SCORES FOR DEVELOPING AN EFFECTIVE PERFORMANCE MANAGEMENT SYSTEM

	Develop an effective performance management system	**N**	**Mean**	**Std Deviation**
4.1	My organisation sets suitable performance goals in line with its vision and mission and broad training objectives	84	3.554	0.499
4.2	In my organisation, performance management is a collaborative effort between the trainer and trainee	84	3.619	0.557
4.3	In my organisation employees access the necessary tools and resources, and provide a supportive environment for effective performance	84	3.666	0.474
4.4	My trainer continuously assesses and communicates trainees' performance progress	84	3.678	0.469
4.5	My trainer provides on-going coaching, mentoring and the active pursuit of new knowledge and learning	84	3.702	0.459
4.6	My trainer provides trainees with mid-year review progress reports and a final evaluation feedback	84	3.702	0.459

Analysis of the means scores and standard deviations for the fourth critical organisational success factor revealed an aggregate mean of 3.7. This suggests a tendency towards disagreement on all the statements. The standard deviation indicated that the spread was relatively narrow, ranging between (0.459) and

(0.557), indicating that the respondents were relatively consistent in the way they responded to the items in this section.

It is evident from the above analysis (Section C of the questionnaire) that a training culture, leadership, creation of a learning organisation and the establishment of a performance management system in the Botswana public service are not in place as per the theoretical study and most importantly, according to the theoretical models. The responses obtained from these critical organisational success factors were not positive. It could be concluded that the internal organisational environment strongly discourages effective evaluation of training and development initiatives. The responses overwhelmingly indicate that the majority of respondents do not believe that their ministries and departments have done enough to create a conducive environment for the evaluation of training and development.

6.3 CONCLUSION

The purpose of this chapter was to analyse and interpret the data obtained through the research questionnaire. The analysis and interpretation of the data were undertaken in terms of the objectives of the research stated in chapter one. An evaluation of the results of the research questionnaire indicated that all the ten training and development evaluation strategies were not adhered to. Particularly, strategies nine and ten are those that specifically deal with the evaluation of training and development.

Chapter seven covers various recommendations, based on the above-mentioned findings. The problems and limitations encountered during the research study as well as the opportunities for future research are highlighted.

CHAPTER 7

SUMMARY, RECOMMENDATIONS AND CONCLUSIONS

7.1 INTRODUCTION

In Chapter Six the results of the empirical study were presented and analysed and recommendations based on the findings of each section of the study were reviewed. In this chapter, the problems experienced during the study are discussed and recommendations for further research are presented.

7.2 MAIN FINDINGS

The main problem identified in this study was:

What training and development evaluation strategies are used by the Botswana public service?

The rationale behind the study was to address the continued decline in service delivery in the Botswana public service sector regardless of the huge budget on training and development across the board (in all government ministries and departments). It is evident from the theoretical review that for training and development to be effective, they must be systematic, and proper evaluation techniques must be used to in order to improve individual, team and organisational performance. While the major part of this research was about the evaluation of training and development, it is important to note that evaluation is a final stage in a systematic training process. Due to this scenario, more emphasis was placed on systematic training and development as illustrated by the comprehensive training model in Figure 3.9. Without systematic training and development, it would be difficult to evaluate the training and development initiative. While previous research

focused on the evaluation of training and development, a need exists to investigate and formulate strategies for the evaluation of training and development in order to address poor quality service delivery and the continued decline in productivity levels in the Botswanna public service sector. Like any organisation, the Botswana public service should demand return on investment, because of the significant amount of money and time spent on training and development initiatives.

Sub-problems were identified to resolve the main problem. The sub-problems are listed below.

SUB-PROBLEM ONE:

What outcomes are expected from training and development initiatives?

A literature study was conducted to identify outcomes of training and development initiatives in the Botswana public service sector. It was revealed in the literature study that the main outcomes of training and development include, amongst others, changes in attitude and behaviour, skill levels, knowledge, and change in levels of organisational efficiency and effectiveness (refer to chapter four). Results from the empirical study suggest that an overwhelming majority of respondents disagreed or strongly disagreed that their individual performance is appraised, that none of the ten training evaluation strategies are applied in their ministries or department. Also according to the empirical study, indications are that the environments in which training and development initiatives are conducted are not befitting. The organisational training culture, leadership, learning organisation and an effective performance management system are non-existent creating unfavourable conditions for effective training and development.

SUB-PROBLEM TWO:

What evaluation strategies can be used to determine whether training and development initiatives are effective?

Chapter three of the study considered the conceptual framework for effective training and development, how effective training and development should be conducted and most importantly, the systematic approach to an effective training and development process. The logical steps to be undertaken in order to ensure that training and development impact on the overall organisational performance were presented in the form of a theoretical comprehensive training and development model (refer to Figure 3.9).

SUB-PROBLEM THREE:

What strategies in sub-problem two are used by the Botswana public service to evaluate training and development initiatives?

In order to resolve sub-problem three, the questionnaire that was developed from the theoretical model in chapter four, was administered to trainers, supervisors and training managers who were responsible for the management of training and development in the Botswana public service. Employees' views on training and development initiatives were also sought as employees are normally trainees in most of the training programmes. The results from the survey were statistically analysed and interpreted.

The results strongly suggest that respondents are in agreement with the training and development evaluation strategies aimed at improving individual, team and organisational performance.

SUB-PROBLEM FOUR:

What strategies can be utilised by the Botswana public service to evaluate training and development initiatives?

Chapter four provided a theoretical overview of the training evaluation strategies that organisations could utilise to effectively evaluate training and development initiatives. These strategies entail a systematic approach towards training and development and the evaluation thereof: identifying training needs and priorities, strategic planning for training, establishing training objectives, designing, scheduling, presenting, transferring and implementation, maintaining and evaluating training and development programmes. In addition to the ten strategies, four critical success organisational factors were revealed in the literature. These factors have been idenfied as key organisational factors, in the absence of which, training and development would not bring forth the desired outcome and the evaluation of which would not be effective.

Based on the research findings, recommendations are made and areas for future research highlighted.

7.3 RECOMMENDATIONS

It was indicated in chapter five that the goal of research is to solve problems and develop scientific knowledge (Vos, Strydom, Fouche and Delport 2002, p.50). The purpose of this study was to develop training and development evaluation strategies. To achieve this, theoretical and empirical studies were conducted.

The model for the evaluation of training and development initiatives can serve as a guideline for organisations that want to pro-actively manage training and

development and constructively evaluate training and development initiatives in the Botswana public service sector.

The following recommendations emerged from the research conducted:

- Training and development in the organisations should be addressed in an integrated manner. To achieve this goal, organisations need to draw up a training policy that guides the training department and the rest of the organisation on how to conduct training and its evaluation;

- The organisation needs consistently to apply strategies for the evaluation of training and development initiatives. Also, these strategies must be reflected in the organisation's training policy. In view of these strategies, it is important that the organisation becomes a learning one in which training and development become critical components of efficiency and effectiveness and that a performance management system be incorporated into the training strategy;

- A comprehensive and supportive culture, leadership, creation of a learning organisation and effective performance management system should be established and maintained for the effective evaluation of training and development inititiatives aimed at improving individual, team and organisational performance; and

- The literature study and the empirical study suggested that the Botswana public service did not give much attention to the continuity of quality production and quality service and increasing productivity levels as an integral part of organisational strategic approach towards competetiveness. This issue needs to be addressed.

7.4 PROBLEMS AND LIMITATIONS

No major problems were experienced during the duration of the study. Minor problems related to the administration of the questionnaire and specificially to obtaining an adequate number of responses were experienced. This problem was overcomed by a follow-up survey. The eventual high response rate that was obtained and the number of respondents who indicated that they would like to receive a synopsis of the results demonstrated that the survey was positively received by the public servants.

7.5 CONCLUSION

Poor service delivery in the Botswana public service has been a major concern to the government, civil society, and other key players in the economy of the country. Many commentators have urged the government to consider the introduction of stringent public reform programmes to address the productivity decline levels with the view to improve quality service delivery in the public service. Effective training and development evaluation strategies are required to measure change in individual, team and organisational efficiency and effectiveness. This is against the backdrop that two thirds of the public service annual budget goes towards training and development and it is important that training evaluation be conducted to rectify the performance deficiency in the public service sector. It is important for training stakeholders to ensure that an environment conducive for learning to take place through the creation of a training culture, effective leadership, creation of a learning organisation and through the integration of a performance management system into the organisational training and development strategy.

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APPENDIX 1

Nelson Mandela Metropolitan University

for tomorrow

Date 4th October, 2007.

Dear Sir/Madam

SURVEY OF TRAINING AND DEVELOPMENT EVALUATION STRATEGIES USED BY THE BOTSWANA PUBLIC SERVICE

Your assistance in filling and returning the attached questionnaire is greatly valued. The questionnaire is an important part of research I have to conduct in order to obtain a Doctoral Degree in Human Resources Management.

Section A of the questionnaire contains biographical questions. Section B contains questions relating to training and development evaluation strategies and Section C questions about the critical success organisational factors.

The survey is completely anonymous and confidential.

Yours sincerely

_____

THEOPHILUS T. TSHUKUDU (Mr).

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APPENDIX 2

SECTION A

Biographical Data

Please supply the following information regarding your position in the department by placing an X in the appropriate block.

A.1 In which functional area of the department are you employed?

Administration (HR)	
Finance	
Stores	
Transport	
Other – please specify	

A.2 What position do you hold in the department?

Head of department	
Training manager	
Line manager (Training Co-ordinator)	
Trainer	

A.3 How long have you been employed by the department?

0 – 5 years	
6-10 years	
11-15 years	
More than 15 years	

A.4 What is your age group?

21 – 30	
31 – 40	
41 – 50	
51 – 60	
over 60	

A.5 What is your highest qualification?

Standard seven	
Junior Certificate	
Cambridge	
Diploma	
Degree	
Postgraduate Degree	

A.6 Have you attended any course or workshops/seminars during the past three years in training?

Yes	
No	

A.7 Does your ministry or department have a formal evaluation of training in place?

Yes	
No	

A8 Does your ministry or department have a training policy?

Yes	
No	

A.9 How regularly is your performance appraised?

Never	
Once a year	
Twice a year	
More than twice a year	
Continuously during the year	

A.10 How often do you appraise the performance of your employees?

Never	
Once a year	
Twice a year	
More than twice a year	

A.11 How do you rate training as a tool to improve performance in your organisation?

Very effective	
Effective	
Ineffective	
Very ineffective	
Uncertain	

SECTION B

Evaluating training and development initiatives

Research has revealed ten management strategies critical for the effective evaluation of training and development in organisations.

Strategy 1 – Identify training needs and priorities

Key performance areas refer to the critical areas of responsibility in which an employee has to perform in order to add value to the organisation. These will be used as a basis for determining whether an employee is performing well.

Please indicate the extent to which you agree/disagree with the following statements regarding the identifying of training need and priorities.

	Identify training needs and priorities	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
1.1	My trainer and I discuss the training needs and priorities which will assist me to improve my performance					
1.2	My trainer and I reach agreement on the needs and objectives of my training					
1.3	Training needs and objectives are related to the overall organisational goals					
1.4	In my organisation training needs are a product of performance appraisal					
1.5	In my organisation deficiency in knowledge and skills of trainees are measured against individual employee's job requirements					

Strategy 2 – Plan strategicaly for training

Planning for training implies proper arrangement of all the necessary actions and activities that will occur during the training process.

Please indicate the extent to which you agree/disagree with the following statements regarding planning strategically for training in your organisation to ensure effective evaluation at the end of training and development.

	Plan strategic for training	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
2.1	I am aware of the strategic direction of my organisation/department					
2.2	My trainer/training manager reminds me of the overall training strategic goals and objectives.					
2.3	I am involved in the strategic training plan of my department					
2.4	I understand the overall business strategic goals and those of other departments					

Strategy 3 – Establish training objectives

Establishing training objectives refers to the setting of intended objectives of a training programme to guide trainers, line managers and training manager in terms of the objectives that are expected of the trainee. Clarity on what is expected is achieved through on-going discussion between the trainer and the trainee.

Please indicate the extent to which you agree/disagree with the following statements regarding establishing training objectives.

	Establish training objectives	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
3.1	I have clear goals to achieve in my job					
3.2	My trainer/ training manager and I regularly engage in discussions about the goals I have to achieve					
3.3	Both my trainer/ training manager and I have a good understanding of my training objectives					
3.4	My trainer /training manager and I discuss what skills I require to improve my job performance					
3.5	I feel confident that I know how to do a good job					

Strategy 4 – Design the training programme

The fourth strategy involves the designing of a training programme.

Please indicate the extent to which you agree/disagree with the following statements regarding the design of training.

	Design the training programme	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
4.1	I am clear on the purpose of training					
4.2	My trainer/training manager involves me in designing a training programme					
4.3	My trainer /training manager engage in other dialogue/consultative processes to decide the suitable training programme					
4.4	The trainer must be able to understand the training					
4.5	It is important that the trainer knows who the trainees are when designing a training programme					
4.6	The trainer must determine the learning objectives for the programme					

Strategy 5 – Schedule the programme

Besides identifying training needs, establishing the training and development objectives and planning and design the programme, the trainer needs to schedule the training programme.

Please indicate the extent to which you agree/disagree with the following statements regarding scheduling the training programme.

	Schedule the training programme	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
5.1	My trainer /training manager schedule training during off-peak production periods					
5.2	Courses are scheduled in such a manner that continuity is maintained during the delivery of a training programme i.e every day for weeks, not once a week for a five-month period					
5.3	In most cases courses are conducted both on and off the job depending on the requirements of the training programme to enable trainees to devote much of their time to their studies					

Strategy 6-Present the training programme

Presenting the training programme involves presenting course materials during instruction and the focus areas that address the main objectives of the training programme.

Please indicate the extent to which you agree/disagree with the following statements regarding presenting the training programme.

	Present the training programme	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
6.1	During presentation of the programme my trainer or training manager makes provision for many learning experiences					
6.2	Trainees' expectations are taken on board when presenting a training programme					
6.3	The trainer ensures that the right learning climate is created at the commencement of the training programme					
6.4	My trainer considers pre-tests and post-tests to be of assistance to him/her later during training evaluation					
6.5	The trainer communicates his/her expectations to trainees as these expectations can influence training results					

Strategy 7 – Ensure transfer and implementation of a programme

The seventh strategy involves the transferring and implementation of a training programme. Training cannot be considered complete and successful if the trainee

does not transfer and implement the appropriate knowledge, skills and attitudes acquired in a training programme.

Please indicate the extent to which you agree/disagree with the following statements regarding the transferring and implementation of a training prgramme.

	Ensure transfer and implementing of a training programme	**Strongly Agree**	**Agree**	**Uncertain**	**Disagree**	**Strongly Disagree**
7.1	My trainer facilitates the outcome of training by assisting trainees to be able to apply what they have learnt when they get back to their work					
7.2	On returning to my work my supervisor monitors my trainee performance as a way of ensuring that trainees apply what they have learnt					
7.3	My trainer and supervisor are continuously in communication about trainees' performance well after the training programme is completed					
7.4	Managers and supervisors must conduct both formal and informal appraisals to improve employee performance					

Strategy 8 – Maintain training

After the transferring and implementation of training the next strategy involves the maintenance of training.

Please indicate the extent to which you agree/disagree with the following statements regarding the maintaining of the training programme.

	Maintain training	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
8.1	Managers and supervisors must identify what worked during training and maintain it during the next training session					
8.2	Drastic changes in the training programme can create confusion amongst trainees and defeat the intended learning objectives					
8.3	The trainer must ensure that the employee receives information about his/her performance					
8.5	The trainer and supervisor must continuously support trainees through re-inforcement and reward					

Strategy 9 – Evaluate training/learning

Evaluating training entails reviewing how training has been conducted in order to determine whether proper guidelines for the implementation of an effective training programme have been achieved.

Please indicate the extent to which you agree/disagree with the following statements related to the evaluation of training and development (reaction to learning).

	Evaluate training/ learning	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
9.1	My trainer establishes whether training needs were diagnosed from the outset					
9.2	My trainer determines any knowledge or skill deficiencies					
9.3	The trainer must also establish whether or not the training need was of organisational importance					
9.4	My trainer establishes whether or not during training needs were transferred into training objectives					
9.5	The trainer should determine whether or not organisational needs were transferred to strategic organisational objectives					
9.6	The trainer should establish whether or not the prerequisite learning objectives were derived from the overall training objectives					
9.7	My trainer ensures that trainees are assessed to determine the number of prerequisite learning objectives in which they are deficient					
9.8	My trainer should establish whether or not the evaluation system was designed to measure achievement of the objectives					
9.9	The trainer must establish whether the training programme was designed to meet specific learning, training and organisational objectives					

Strategy 10 – Evaluate behaviour or measure job performance

Training and development are aimed at improving performance through changing individuals, teams and organisational effectiveness. It is therefore important, to determine changes in levels of performance of individuals, teams and the overall organisation.

Please indicate the extent to which you agree/disagree with the following statements related to evaluating job performance.

	Evaluate behaviour or measure job performance	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
10.1	My trainer evaluates any change in an employee's performance					
10.2	My trainer assesses whether there has been any post-training employee's performance improvement					
10.3	My trainer measures change in an employee's behaviour during the appraisal process to determine whether training yielded any results					
10.4	The trainer measures and determines any changes in team performance to assess the impact of training on a team's performance					
10.5	My trainer determines any changes in the organisational efficiency and effectiveness that can be attributed to post-training performance of individuals and teams					

SECTION C

Critical success factors

Various critical success factors have been identified as imperatives in evaluating the training process. These factors have an influence on the effective training evaluation process in that training effectiveness is dependent on culture, leadership, creating a condusive learning environment and the management of employee performance which includes the appraising process.

1. Create a training culture

Organisational culture refers to the values and beliefs that direct the behaviour of trainees, trainers and all the employees in an organisation.

Please indicate the extent to which you agree or disagree with the following statements regarding the culture of your organisation.

	Create a training culture	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
1.1	In my organisation excellent service is always emphasised					
1.2	Employees are encouraged to develop themselves					
1.3	Employees are encouraged to communicate with their trainer, training manager and departmental staff					
1.4	The trainer and the rest of the training department value trainees' opinions on issues relating to employee training and development					
1.5	Trainees are held accountable for their training and development					

2. Develop leadership

In every section of the organisation there have to be leaders to guide their subordinates in order to take the organisation's efficiency and effectiveness to the next level. Even in training, there is a need to have leaders who can assist trainees with motivation, guidance, coaching and counselling.

Please indicate the extent to which you agree or disagree with the following statements regarding leadership in your organisation.

	Develop leadership	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
2.1	In my organisation trainers are developed into leaders					
2.2	Trainers in my organisation encourage trainees to reach their full potential					
2.3	I perceive my trainer to be a leader					
2.4	My organisation encourages trainees to solve their own problems themselves					
2.5	Team work amongst trainees is encouraged					

3. Create a learning organisation

Learning is essential for future performance as it creates the ability of employees to solve problems in a creative and innovative manner in the training and development process.

Please indicate the extent to which you agree or disagree with the following statements regarding creating a learning organisation.

	Create a learning organization	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
3.1	My organisation encourages employees to develop and educate themselves					
3.2	Employees are encouraged to learn from each other					
3.3	Opportunities exists for employees to share organisation-related information with each other					
3.4	My organisation facilitates learning					
3.5	My trainer serves as a good role model for me					

4. Develop an effective performance management system

Various guidelines are provided for the development of an effective performance management system. The key to employee performance management is aligning the process with training and development initiatives in the organisation.

Please indicate the extent to which you agree or disagree with the following statements regarding developing an effective performance management system.

	Develop an effective performance management system	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
4.1	My organisation sets attainable performance goals in line with its vision and mission and broad training objectives					
4.2	In my organisation, performance management is a collaborative effort between the trainees and the trainer					
4.3	In my organisation employees access the necessary tools, resources, and provide a supportive environment for effective performance					
4.4	My trainer continuously assesses and communicates trainees' performance progress					
4.5	My trainer provides on-going coaching, mentoring and the active pursuit of new knowledge and learning					
4.6	My trainer provides trainees with mid-year review progress reports and a final evaluation feedback					