



# INTERNATIONAL JOURNAL OF ADVANCE RESEARCH, IDEAS AND INNOVATIONS IN TECHNOLOGY

ISSN: 2454-132X

Impact factor: 4.295

(Volume 4, Issue 3)

Available online at: [www.ijariit.com](http://www.ijariit.com)

## Appraisal system for academic institutions

Prateek Bansal

[prateek.bansal96@gmail.com](mailto:prateek.bansal96@gmail.com)

Bharati Vidyapeeth College of  
Engineering, Pune, Maharashtra

Shivam Soni

[sh96507@gmail.com](mailto:sh96507@gmail.com)

Bharati Vidyapeeth College of  
Engineering, Pune, Maharashtra

Ritesh Mishra

[riteshmishra2606@gmail.com](mailto:riteshmishra2606@gmail.com)

Bharati Vidyapeeth College of  
Engineering, Pune, Maharashtra

### ABSTRACT

*Although the substantial literature on the use of performance appraisal in the profit sector already exists, there is very little literature available regarding the appraisal of staff positions in higher education. This study provides a detailed look at the appraisal of all faculty members in a College under a University. The study points that based on the experience and expertise of the staff and fair and reliable administration decisions, staff's ability and efficiency can be boosted many folds. Discontentment was found with the appraisal process due to the supervisors not being held liable for the timely completion of the appraisal process and the lack of training provided to supervisors for performing appraisals.*

**Keywords:** Appraisal system, Performance, Feedback, Training, Rewards.

## 1. INTRODUCTION

The success of an institution depends on the quality of its staff. The staff plays a significant role in any institution as they are the backbone of the institute. Institutions cannot achieve their goals without them. However, for achieving goals for an institute, the staff needs to be motivated at work time and again. Thus Human Resource Management (HRM) policies connect the mission and vision of the institution to the performance of the individual. Thus, the concept of PERFORMANCE APPRAISAL comes into play.

Performance appraisal is an important element of life and is widely used in many organizations. Performance appraisal is often used for performance assessment, evaluation, and review of an individual or a department. The success of an institution depends on how the performance of every staff is and how effectively the staff is appraised and managed.

Performance appraisal is an important aspect of career growth in which there is a regular review of the performance of staff in the institute and then feedback is given to them. Thus performance appraisal is a continuous process of assessing and measuring the inputs of every staff and knowing their strengths and weaknesses and communicating the results of their efforts to the staff.

Often the term is confused with effort, but performance is always measured in terms of results and not efforts. A student, for e.g., may exert a great deal of effort while preparing for the examination but may manage to get a poor grade. In this case, the effort expended is high but performance is low. In order to find out whether a staff is worthy of continued employment or not, and so whether or not he should receive a bonus or a pay rise or promotion, his performance needs to be evaluated from time to time.

## 2. OBJECTIVES OF THE PERFORMANCE APPRAISAL

### Primary Objective

- To develop a faculty performance appraisal system for educational institutions.

### Secondary Objectives

- To Study and analyze the effectiveness of present Performance Appraisal method being followed.
- To collect feedback from Appraiser & Appraisee about the existing Performance Appraisal method.
- To collect information about the drawback/shortcomings of the performance appraisal system in place.
- To make suggestions, based on feedback .and other information collected with a view to improving the appraisal system/process.

### **3. LITERATURE REVIEW**

Performance evaluation methods are processes by which appraisal is carried out in an organization. The methods include determining the types of data collected and evaluated in the appraisal, the type of communication that takes place between seniors and their subordinates, and the various tools that are used to evaluate performance. It is important that the evaluation methods used can influence the type of appraisal system used in the organization. Thus performance evaluation methods have been described by multiple authors in various ways.

Landy and Farr (1983) define a method in which the performance appraisal data is organized into two groups: judgmental or subjective measures and non-judgmental or objective measures. Although judgmental measures are more broadly used, objective performance measurements have been helpful measures of performance for routine jobs since the 1940s (Rothe, 1946). Other non-judgmental indices that do not assess performance directly but provide information on the general health of the organization, including absenteeism, research work, and course coverage, have also been researched (Campbell, Ford, Rumsey, Pulakos, Borman & Felker 1990). Objective measures do have their unique problems, however.

For example, absentee measures are not applicable to many jobs, are often inaccurate, are caused by a variety of reasons depending on the meaning of absence, differ in the duration of observation, and do not show a relationship with each other (Murphy & Cleveland, 1995). Using research work and experience as a standard is complicated because it is hard to differentiate between voluntary and compulsory jobs undertaken. The rate of promotion or salary increases are not good standards because the rate could be controlled by a quota set by the institution and salary modifications could be influenced by the economic well-being of the institute rather than employee performance. These problems challenge the validity of the measures (Murphy & Cleveland, 1995).

Landy and Farr (1983) have identified some problems with objective measures. First, they seem to have low reliability. For example, some factors that may be external to the individual such as the institution's sick leave policies may affect the correctness of absence measures or the period of inspection may not be constant. Second, objective measures may not be reasonable for certain jobs. For example, it does not make sense to collect information on invigilators and absences from visiting faculties who may not be working a fixed number of hours per day or week. The changing nature of work points that subjective measurements may continue to be more popular and useful. (Murphy & Cleveland, 1995).

The use of management by objectives (MBO) to define and measure job performance is often used as there is a proportionality on the contribution of the staff to the institution's goals and results (Drucker, 1954). Let's look at a few aspects of MBO programs. MBO requires involvement in the setting goals. The supervisor and the subordinate together define the goals and performance measurements for the subordinate(s). They decide what needs to be achieved and how they will measure the achievements. Also, MBO provides feedback regarding progress towards the goals. In an MBO system, performance is mostly defined in terms of measurable outcomes. However, the setting of goals is quite subjective often involving negotiation between the administrator and the staff (Murphy & Cleveland, 1995). If a high performing staff fails to achieve their targets, the administrator regularly renegotiates the objectives so that he can be sure that the capable performer will obtain those outcomes. Two of the disadvantages of an MBO system includes a significant amount of paperwork, particularly in the beginning stages, and the concern that MBO tries to make responsibilities ambiguous and compels staff to measure objectives that are not measurable (Berman, 1980).

In another method, Sims and Foxley (1980) provide four different classifications used in higher education, specifically by college professionals: comparative methods, absolute standards, management by objectives, and direct indexes.

#### **Comparative methods include:**

- (a) Rank-ordering all staff members from lowest to highest in effectiveness.
- (b) Alternately choosing the most effective and then the least effective staff member, moving their names to separate lists and repeating the process until all names have been removed from the initial list.
- (c) Comparing each staff to every other staff and determining a final ranking based on how many times the staff was ranked above the other staff.
- (d) A forced distribution where a certain percentage of the staff is classified as top performers, perhaps a second group in the next tier, and then another group assigned to the lowest performing group.

Absolute standards methods have several variations including critical incidents, weighted checklists, forced choice, conventional rating, and behaviorally anchored rating scales. Critical incidents involve identifying the significant requirements of a job and the supervisor is asked to rate each staff in each category. Weighted checklists involve compiling a list of staff member's goals that the supervisor uses for each staff member to determine which of the goals was completed. Forced choice requires the supervisor to choose the most descriptive statements for each staff using a list of items that differentiate between successful and unsuccessful completion and between desirable and undesirable staff traits. Conventional rating involves rating staff traits on a form using such categories as excellent, average, and poor. Behaviorally anchored rating scales are a quantitative version of the critical incident method that uses scales anchored in descriptors of actual position behavior and specific levels of performance. The above examples of evaluation methods provide a comprehensive overview of the types of methods most often used by various organizations. They fall along a continuum between subjective and objective methods and between unstructured and structured methods.

### **4. PERFORMANCE APPRAISAL AND RELATED VARIABLES**

The process of performance appraisal is very complex. The main focus is on finding the strengths and weakness of staff and also on achieving the target levels. Thus the information is used to train the staff and motivate them by giving them appropriate skills.

## **Reward**

The reward is an essential factor in any organization to motivate workers and also to meet their goals. In every established organization, especially the education sector, it is necessary to have the goals and objectives stated clearly and the administrator has to define each person's role, communicate it to them and reward them for their performance.

## **Training**

Appraisals are a complicated and cumbersome process that requires precision and dedication. The use of appraisal system is not innately known to the involved members. They need to be trained in its use to achieve maximum efficiency. This training will then serve as a means to allow such staff to acquire and obtain more and specific skills, capacities, knowledge, information, and talents that will be useful in his/her subsequent task.

## **Promotion**

There has been a culture, especially in the education sector, that when the appraisal is done, either bonuses or promotion or both are given. It was also observed that previous appraisal system did not ensure that high performing faculties were treated fairly with respect to both the appraisal and promotions. For an appraisal system for institutes, the administration needs to see how the pay increases and promotions are given since studies have shown that if the staff is motivated, their efficiency increases in the workplace.

## **Feedback**

The performance appraisal system is a means for the administration to evaluate and provide feedback on faculty's performance and also ways to improve on their shortcomings as needed. The feedback mechanism acts as a means of identifying the strengths and weaknesses of each faculty or a department. It is adduced that in order to improve the performance of a worker, it is important to discover his/her scope of improvement and weaknesses through feedback and support thereby ensuring the faculty's involvement in, improvement at and commitment to his or her performance. Mostly performance feedback for development/improvement may be given verbally, but it is considered crucial that a written summary of the individual's work performance be maintained whenever a pay increase or promotion (or demotion or termination) is enacted. For the alignment of the working of an educational institute with its goals, the administration needs to continually inform workers of their worth, values, strengths, recognize them for a job well done and set a record of open and fair-minded feedback. 360-degree feedback may as well be employed to evaluate the performance of an individual.

## **5. GUIDELINES FOR A SUCCESSFUL PERFORMANCE APPRAISAL SYSTEM**

Basically, there are four factors for a successful performance appraisal system. They are:

The first factor is that the appraisal system design requires a defined purpose for performing the performance appraisal. All members must clearly understand what the goals of performance appraisal are and why it is being done. The predefined goals will help the administrators to select performance criteria and will thus increase the motivation of the administrators to carry out the appraisals properly.

The third factor emphasizes the importance of user-friendly and easy-to-understand appraisal procedures. Various parameters such as performance criteria, rating procedures, and feedback should be unambiguous and understood clearly by both supervisors and their subordinates.

The final factor for an effective system design the understanding of their respective roles in the appraisal process by both supervisors and their subordinates. This requires them to have proper training and education. The above four factors establish firm guidelines for creating an effective appraisal system.

Supervisors and faculties generally have ambivalent attitudes, towards performance appraisal. Although most would recognize the perceived benefit, in principle, of documenting, communicating and setting goals in areas of performance, many are also frustrated concerning the actual benefit received from performance appraisal in their organization. The benefits and rewards of performance appraisal appear to be often overstated as in "the typical performance appraisal system devours staggering amounts of time and energy, depresses and demotivates people, destroys trust and teamwork and adds insult to injury. It delivers little demonstrable value at great cost". We mention several pitfalls that are common to performance appraisal systems:

- (a) They demand too much from supervisors,
- (b) Standards and ratings vary widely and sometimes unfairly,
- (c) Personal values and bias can replace appraisal standards,
- (d) Employees may not know how they are rated due to lack of communication,
- (e) The validity of ratings is reduced by supervisory resistance to give the ratings - particularly negative ratings,
- (f) Negative feedback can demotivate employees, and
- (g) They interfere with the more constructive coaching relationship that should exist between superiors and their employees.
- (h) They may be biased.

## **6. IMPACT OF THE PERFORMANCE APPRAISAL SYSTEM TO THE RESPONDENT'S PERFORMANCE**

### **1) Employees Commitment**

Dedicated employees have a bond with the organization, which, is generally positive in form, and it makes them more willing to perform. There are various factors that tell how employees are dedicated to working for an institution. It has been observed that when a job has greater responsibility, it brings more stress and burden thus worker tends to enjoy the work more as he finds it challenging/ The more the workers are motivated and challenged in their jobs, the more likely they are to be committed to a given work.

Results tell us that the performance appraisal system of institutes strongly affects the commitment of the staff. It also indicates that the efficiency and effectiveness of the staff are strongly affected by their motivation in doing their work is affected.

Thus, the main aim of performance appraisal system was to improve the performance of an employee. The setting of objectives and the evaluation of results against goals was the aim of the old management system. But the modern management aims at how things are done as well as what is done. Thus this changes the concept of performance appraisal system completely.

### **2) Employee Skills**

In every organization, new employees are being hired for specific skills and qualities in order to create a professional and productive workplace. Some of the most important employee skills in the office are how people communicate with each other and how the research/planning is done.

The appraisal system strongly affects the employees' technical as well as managerial skills. On the other hand, the work skills of employees and the area of expertise are moderately affected.

Based on the result of the study, it can be concluded that performance appraisal system is a way to reward good performers and also plays a vital role in developing skills in an employee. Training, as well as development, play a major role for both employee and managers to identify each other's development needs. In this way employee knowledge, skills and performance can be enhanced.

### **The necessity of API for academic professionals**

Academic performance indicators (API) are a set of indicators/rules that establish rules and criterion to evaluate the categorical as well as overall performance of a staff member. These indicators are the building blocks of our appraisal system. They are an integral component and play a vital role in rating/grading performance records. The indicators have various fields and forms that need to be filled in by the concerned faculty member during the course of his/her duty over the years. The use of API makes it convenient and comprehensible for both the faculty as well as their administrators to understand the evaluation criteria thereby promoting a positive outlook towards the entire appraisal process.

### **Implementation of API**

Having discussed the need to use API over other evaluation methods for performance-based appraisal, we shall now look at how API has been incorporated into our appraisal system.

There are four login levels in the system i.e there are four prospective users viz. Professor, Head of Department (Hod), Principal and Administrator. With ascent in designation, the viewer will be able to see not only his colleagues but also his subordinates. It is expected that each staff member fills in his / her details periodically and accurately so that they can be reviewed by them as well as their supervisors.

The system consists of various forms that the user (faculty member) needs to fill in correctly at the end of the respective academic year.

Forms:

#### **Part A: General Information**

This part collects the basic information of the user such as their personal information, academic qualifications, work details, etc.

#### **Part B: Academic Performance Indicators**

This is divided into three categories - category 1, category 2 and category 3.

Category I - includes entries related to teaching duties, outside classroom interaction, innovation teaching, examination duties, updating of subject content, examination duties, etc.

Category II - includes co-curricular, extension and professional development activities, such as contribution to corporate life, institutional governance, administrative responsibilities, sports / cultural and/or NSS activities, etc.

Category III - includes research, publications and academic contributions such as research papers published, research publications, research project(s) work, research guidance, invited lectures, etc.

Part C: Other relevant information

Details regarding any significant credentials, contributions, awards received, etc.

The concerned staff is required to enter these details at the end of every academic year. Based on the guidelines by UGC, API score for all categories will be calculated. Subsequently, a final API score will be conveyed to the user through his certificate. Supervisors can review the performance of their subordinates and rate them accordingly. Subordinates can raise an issue if they find discrepancies or are content with the evaluation.

**What new things can be gained from this API implementation?**

A major drawback of the appraisal system/process currently in use is that it is very wearisome to view all the data of a staff member for all the years in one place because currently, all the data is collected in an excel sheet. The proposed system makes this job much simpler by making it possible to consolidate all the data in one place using a database system which makes search and retrieval of data much more convenient and easy. This, in turn, facilitates the administrator to scrutinize his subordinates on various parameters with all their data within reach and come to reasonable conclusions. Also, by providing an appealing GUI, candidates are more comfortable and better understand the appraisal process, its constraints. Moreover, it offers the additional feature that a user can also view the performance of his colleagues.

**7. REFERENCES**

- [1] Abu-Doleh, J. & Weir, D. (2007). Dimensions of performance appraisal systems in Jordanian private and public organizations. *International Journal of Human Resource Management*, 18(1), 75-84.
- [2] Armstrong, M. (2001). *Human Resource Management Practice*, (8th ed.) London: Kogan Page Publishers.
- [3] Armstrong, M., & Baron, A. (2005). *Managing Performance: Performance Management in Action*. London: Chartered Institute of Personnel and Development.
- [4] Broady-Preston, J. & Steel, L. (2002). Employees, customers, and internal marketing strategies in LIS. *Library Management*, 23(1), 384-393.
- [5] Brown, M., & Benson, J. (2003). 'Rated to Exhaustion? Reactions to Performance Appraisal Processes'. *Industrial Relations Journal*, 34(1): 67-81
- [6] Brown M, et al. (2010). Consequences of the performance appraisal experience: *Personnel Review*,39(3), 375-396
- [7] Caruth, D. L & Humphreys, J. H. (2008). *Performance Appraisal: Essential Characteristics of Strategic Control*. *Measuring Business Excellence*, 12(3), 24-32.
- [8] Cawley, B. D., Keeping, L. M., & Levy, P. E. (1998). 'Participation in the performance appraisal process and employee reactions: A meta-analytic review of field investigations'. *Journal of Applied Psychology*,83(4): 615-633
- [9] Chiang, F. & Birtch, T. (2010, November). Appraising performance across borders: An empirical examination of the purposes and practices of performance appraisal in a multi-country context. *Journal of Management Studies*,47(7), 1365-1393. doi:10.1111/j.1467-6486.2010.00937.x
- [10] Coens, T., & Jenkins, M. (2000). *Abolishing Performance Appraisals: Why They Backfire and What to Do Instead*. San Francisco: Berrett-Koehler Publishers
- [11] Cook, J., & Crossman, A. (2004). 'Satisfaction With Performance Appraisal Systems: A study of Role Perceptions'. *Journal of Managerial Psychology*, 19(5), 526-541.
- [12] Den Hartog, D., Boselie, P., & Paaiwe, J. (2004). Performance management: A model and research agenda. *Applied Psychology: An International Review*,53(4), 556-560.
- [13] DeNisi, A. & Pritchard, R. (2006). Performance appraisal, performance management, and improving individual performance: A motivational framework. *Management and Organization Review*,2(2), 253-277.
- [14] Erdogan, B. (2002). 'Antecedents and Consequences of Justice Perceptions in Performance Appraisals'. *Human Resource Management Review*, 12(4), 555-578.
- [15] Fletcher, C. (2001). 'Performance Appraisal and Management: The Developing Research Agenda'. *Journal of Occupational and Organizational Psychology*, 74(4), 473-487
- [16] Gupta, A., & Upadhyay, D. (2012). Impact of the effectiveness of performance management system on employee satisfaction and commitment. *International Journal of Management, IT and Engineering*, 2(7).
- [17] Keeping, L. M. & Levy, P. E. (2000). Performance appraisal reactions: measurement, modeling, and method bias. *Journal of Applied Psychology*, 85(5), 708-723.
- [18] Lawler, E. E. (2003). 'Reward and performance management system effectiveness'. *Organizational Dynamics*,32(4):396-404.
- [19] Lee, C. D. (2005). Rethinking the goals of your performance management system. *Employment Relations Today*, 32(3) :53 – 60.
- [20] Macey, W. H., Schneider, B., Barbera, K. M., & Young, S. A. (2009). *Employee engagement: tools for analysis, practice, and competitive advantage*. Malden, WA: Wiley-Blackwell.
- [21] Mansor, N. A. (2011), 'Determinants of performance management system in South East Asia', *Interdisciplinary Journal of Contemporary Research in Business*, 3(2): 43-56
- [22] Moorhead, G. & Griffin, R.W. (1992). *Organizational Behavior* (3rd Edition). Boston: Houghton Mifflin Company
- [23] Moulder, E. (2001). *Performance Appraisals for local government employees: Programs and Practices*. Washington: D.C
- [24] Mone, E. M., & London, M. (2010). *Employee Engagement through Effective Performance Management: A Practical Guide for Managers*. New York: Routledge.
- [25] Muchinsky, P. M. (2006). *Psychology applied to work* (8th ed). Belmont, CA: Thomson Wadsworth.

- [26] Pettijohn, L., Parker, R., Pettijohn, C., & Kent, J. (2001). Performance appraisals: usage, criteria, and observations. *The Journal of Management Development*, 20(3), 754-771.
- [27] Prowse, P., & Prowse, J. (2009). The Dilemma of Performance Appraisal. *Journal of Measuring Business Excellence*, 13(4):69-77
- [28] Rao, T. V. (2004), *Performance Management and Appraisal systems; HR tools for global competitiveness*, New Delhi: Response Books (A division of Sage Publications).
- [29] Roberson, Q. M. & Stewart, M. M. (2006). 'Understanding the Motivational Effects of Procedural and Informational Justice in Feedback Processes'. *British Journal of Psychology*, 97(3):281-298.
- [30] Schraeder, M. Becton, J., & Portis, R. (2007). A critical examination of performance appraisals. *The Journal for Quality and Participation*, 21(1), 20-25.
- [31] Selden, S. C., Ingraham, P. W., & Jacobson, W. (2001). Human resource practices in state government: Findings from a national survey. *Public Administration Review*, 61(5), 598-607.