Evaluation Mechanism of Faculties in Higher Academic Institutions: A Review

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ABSTRACT
Employees’ performance evaluation is a management practice. It is mainly used for taking personal decision like transfer, promotion and pay fixation. Moreover, it is also used as a motivating driver. Apart from this, it also deals with employees advancement issues. Performance appraisal is the heart of the performance management systems and is the most systematic and formal process of measuring, identifying, observing, developing the strength and weaknesses of an employee. The paper aims to evaluate the method of performance appraisal in industries as well as academic institutions and its importance. This paper aims to explore the strength and weaknesses of current appraisal system in higher academic institutions and propose the suggestions for improvement in current appraisal system in Indian higher academic institutions.

Keywords--- Academic Institutions, Appraisal methods, IT industries, Performance Appraisal.

I. INTRODUCTION
Performance appraisal and decision on rating the performance index has taken an essential part in current organizations regardless of the place and context. Evaluation of performance is the most effective and critical mechanism of HRD with varied areas and purposes. This mechanism is used to assess the behavior, input and prospects of the employees. It is applicable at all such places where people work in a group for the accomplishment of a common objective.

Everyone working in an organization is in pressure to give one’s best in today’s competitive world. This is because his performance is being evaluated and compared in various perspectives. Organizations, in particular, follow the practice of performance evaluation. They make sure that their employee’s performance should steadily improve. Not only this, but performance appraisal is also required to place the employees at their right place in the organization. This helps in utilizing their talent to its full extent. There are various practices adapted for the measurement of performance appraisal according to the different situations and organizational characteristics [18].

A well-organized employee’s performance evaluation mechanism and its execution plays an imperative role in encouraging the employees of the organizations to put in better effort. It helps in improving their performance as individuals and as team members to come together to accomplish a common goal [6].

It is known that there are different types of appraisal system for developed, developing and underdeveloped countries for education and industrial sector. The developed countries are in far better position with respect to others. Appraisal system for industries is working well all over the world which has helped for its fast growth but in education system it is far behind.

II. INCEPTION, HISTORY AND PROGRESSION OF PERFORMANCE APPRAISAL

In early 1980s, work performance of individuals was formally reported in Robert Owen’s factory that was situated in New Lanark. A bit of colored wood piece like as colour bar was suspended over machines to signify the evaluation of the employee. The colored indicators had meanings that were different based on the different colour. White colour marked the excellence. It was successively followed by yellow and blue. Black indicated poor performance [12]. This method of measurement of performance of individuals was then succeeded by the scientific management movement and measured performance that was introduced in the twentieth century by F.W. Taylor [9] Psychological practices like individual characteristics and ability to perform while considering feedback and its display via graphic rating scales were introduced during 1930s. This was an assorted standard
scales for getting individual performance. It could note actions in Likert-scale ratings, facilitate in getting testimony to recruit and recognize management capabilities in the sphere of assortment. Central ratings were avoided in later years of research on improvement of the appraisal system by removing the middle scale from the five point scale. It could obstruct one from making neutral choices and come to a definite choice [28]. This was followed by the development of behavioural methods using motivational approach during 1940s. These included the Behavioral anchored Rating Scales (BARS), Behavioral observation Scales (BOS), Behavioral Evaluation Scales (BES), Critical incident, and Job simulation etc. These judgment levels were mapped with certain definite levels of assessment criteria such as “excellent”, “average”, “needs to improve” or “poor”. These responses of ratings are mapped into numerical values along with remarks or detailed comments given by appraiser. What matters is that these responses should be progressive and should be positive, thereby being able to perform these changes in training? A significant issue to be underlined is that these changes could be made to affect the management’s methods of supervision and have enough abilities of bringing out the potential with respect to the managerial aspects.

Target/result based approaches emerged during post-1945. This led to the development of management by objectives (MBO). It is an approach to evaluate by setting specific targets and timeline to achieve the same. Targets can depend on specific factors like sales, profitability and timelines, using inputs from previous performance [33]. The timelines needed a revision which led to definite performance level of employee. These offered a comparative performance rating, achieving and setting specific goals which gave a forced distribution of ratings. Another type of performance appraisal system was adapted in 1960s. Here employees had been given an opportunity to self-evaluate themselves. The decision on final ratings was made after discussing on a variety of topics that the evaluator wanted to discuss in the meetings.

In 1990, 360-degree appraisal system came into picture. In this system, the inputs were no longer solely on the manager-subordinate supremacy association. Rather the inputs were taken from varied sources, like managers, peers, other groups working with appraiser [38].

In 1990s, the final outline was developed of appraisal interviews with giving emphasis on relating to the performance with monetary reward. In the beginning, most of the organizations used informal methods to complete performance appraisal process, wherein evaluation measures of employees were dependent only on their immediate supervisors. This informal methodology had several shortcomings. To conquer these shortcomings, companies had implemented the modern techniques that take response from multiple individuals related with each evaluating employee. This is known as 360 degree appraisal. It is one of the latest additions, which takes information not only from the supervisors but also considers the groups who can also actually respond the performance of employees. 360 degree assessment is a process for assessing employees’ performance based on the findings from all teams with whom they involve during the execution of allotted tasks like supervisors, collaborators, colleagues, customers including one’s own self [23].

III. PERFORMANCE APPRAISAL PRACTICES IN DIFFERENT COUNTRIES OF THE WORLD

There are some insights into the major challenges of individual performance appraisal system faced by different countries all over the world. The various methods adopted for the performance appraisal in developed and under developed countries as well as developing countries in various corporate organizations, government institution, and education sector that can help us to get through the impact and changing scenario in the better manner. It is quite important to understand what is going on in existing system, what flaws are prevailing despite of successive improvement time to time. In next few topics we shall focused on the studies that were made in the various countries of the world with respect to the various performance appraisal and the relevant measures that were taken time to time while taking in the account of improvements made according to their own changing scenario needs. It is expected to improve our appraisal system. It is required that we map them with our scenario and check whether these would be suitable for us or there is need to be change or rather, customized according to the need of the organization or institutions.

IV. A DEVELOPED COUNTRIES AND PERFORMANCE APPRAISAL

Performance appraisal in developed countries can be broadly divided into two basic sectors:

a) Corporate Organizations
b) Educational Organizations

4.A.a PERFORMANCE APPRAISAL IN CORPORATE ORGANIZATIONS IN DEVELOPED COUNTRIES

The formal use of performance appraisal in the U.S. was started probably in 1813. During this time, General Lewis Cass of U.S Army has gone for an evaluation process for each of his workers by using such terms as “a good-natured man” or “knave despised by all” [31]. The U.S. Congress introduced the first Federal pay structure in 1854 for employees. But it did not establish requirement of job and the performance appraisals to analyze and set up the pay structure at the beginning. In
1883, Pendleton Act was passed. It emphasizes the employment structure should be based on performance. It was made a system for assigning job-related tasks and evaluating job applicants. The link of pay with performance established a standardized efficiency rating system in which performance of employees had signified the effectiveness of rating.

During early 1990s the developed countries were started to reform employees’ performance appraisal system. The changing scenario and emergence of new ideas lead to advance the performance of the executive body and its establishments such as Benchmarking approach, scorecard approach, the Six Sigma approach, the New Public managing approach, and the Total Quality Management approach in the Corporate Organizations. From time to time, there have been changes in the customary assessment method at individual level. Consequently, the new appraisal systems such as the Solution Focused Rating (SFR) which was extensively focused on appraisal method in advanced countries such as Germany and Austria in 2002 came into force.

The Performance Pays System, advocates in South Korea, Canada, Britain and US focused on the design of evaluation.

The appraisal method applied in U.S and Canada was of 360 degree. It emphasizes on assessor and assessee linked with the appraisal system.

In Some other system social intelligence and citizen’s contentment were new assessment criteria for appraisal, generally used in Malaysia and Japan. There are some systems that mainly focus on time interval of evaluation on the quarterly or bi-annual performance appraisals which are used in the US and Japan instead of the annual performance appraisals [3].

The measurement of performance appraisal processes by the managers in manufacturing organizations is based on the present or expected performance of workers [8]. Workers are measured on significant tasks, competencies and execution to execute specific task successfully. Boss of organization, consequently, take suitable action for identification and selection to assess job performance. This is very helpful in minimizing the attrition rate in organization [25].

4.Ab PERFORMANCE APPRAISAL IN EDUCATIONAL ORGANIZATIONS IN DEVELOPED COUNTRIES

In America, higher education has been taken several slips for more than two decades in getting proof of its effectiveness for attaining educational goals [29]. The criteria of rating and measurement of an effective institution of higher education is still under discussion between employers, legislators, parents, media and accreditation agencies, but indicators rejecting performance of the institutions agree about to take account of the view of all. As a result, significant attempts have been made to create performance indicators that state the three important major purposes of University- Research, service, teaching and learning. These stake holders do agree in calling for indicators capturing the performance of the institutions [16]. In higher education the use of indicators in measuring organizational performance moved through many phases.

In the late 1960s it was used as a mechanism to assign resources. In 1980s it was as a source of information input for funding decisions and assessing achievement of National priorities. In 1990s the distinct shift were used for quality assurance and control. USA, Britain, Australia and New Zealand are among the countries which already have substantial and well defined performance appraisal system for teachers [20].

4.B UNDERDEVELOPED COUNTRIES AND PERFORMANCE APPRAISAL

The performance appraisal system of underdeveloped countries can also be classified into two parts. One is performance appraisal for corporate organizations and second is performance appraisal for educational organizations.

4.B.a PERFORMANCE APPRAISAL IN CORPORATE ORGANIZATIONS IN UNDERDEVELOPED COUNTRIES

The use of result oriented performance appraisal method has endorsed by New Public Management (NPM) in Uganda. For a long time these were seen as an Anglo-Saxon phenomenon because the early reformers were from New Zealand, Great Britain, Australia and to some extent of the USA. Though, these reforms were carried out almost all over the world during the 1980s and the 1990s [5].

Process that attempts to evaluate individual performance and not considering non-uniform distribution of power, strong collective norms and reluctance of innovation or different manner of executing things into account, seems conflicting with the Uganda’s administrative culture. Hence, performance evaluation especially the NPM-based performance appraisal process appears as either weaken or disagreement with the host administrative culture and was less suitable for Uganda’s civil service [13].

4.B.b PERFORMANCE APPRAISAL IN EDUCATIONAL ORGANIZATIONS IN UNDERDEVELOPED COUNTRIES

In Bangladesh, the faculty evaluation system is yet to be introduced due to the fear of political victimization and turmoil, although some section of society strongly feels the necessity for introduction of some form of evaluation of faculty [24].

4.C DEVELOPING COUNTRIES AND PERFORMANCE APPRAISAL

Countries those are not only trying to develop and strengthen the economy of the nation but also making the effective appraisal system for employees indulge for the overall growth of their nation. Such countries include Iran, Egypt, Zimbabwe, Pakistan and the Indian sub-continent.
4.C.a PERFORMANCE APPRAISAL IN CORPORATE ORGANIZATIONS IN DEVELOPING COUNTRIES

Several manufacturing industries of Egypt are aware of the importance of nonfinancial measures along with financial measures because complete dependency of only financial data is no more productive for organizations. Regardless of this increasing awareness of nonfinancial measures, performance management systems are still not very common and implemented in organizations of Egypt and they still use conventional financial methods like measures of return, return on investment and return on assets [2]. Zero-based budgeting systems are being used by most of the private organizations, local government institutions and almost all government departments in Zimbabwe. Nonetheless, as the balanced scorecard (BSC) has shown tremendous success, Zimbabwe is putting their best efforts to adopt cutting-edge performance management system and to match up with the other part of world. Presence of many multinational companies with latest performance management systems gives an advantage to Zimbabwe. These multinational companies can be taken as an example by Zimbabwean organizations [40].

"Performance management" is comparatively a new area of management in South Africa, but there is an increasing persuasion on South African organizations which is attracting them to explore the notion of strategic performance management.

Evaluation of employees at workplace facilitates workers to find out his strengths and weaknesses and it also help to understand future prospects. Industries usually have annual performance reviews (APR) and supervisor providing comment on progress of staff. Though, In India leading companies are adopting a progressive approach for evaluating employee’s performance by adopting modern appraisal method like 360 degree approach or management by objectives [21].

4.C.b PERFORMANCE APPRAISAL IN EDUCATIONAL ORGANIZATIONS IN DEVELOPING COUNTRIES

Evaluation of faculties is not a new concept or phenomena. It was always present in various forms and has many other faces like casual observation by the students or assessment of a faculty according to their research papers and publications. Students evaluate faculties in each phase as they are interacting with them on regular basis. But all these evaluations are casual and do not affect much in faculty appraisal and improvement. Hence, formal and organized appraisal process should be to let the faculty be aware about their strengths and weaknesses as per the comments of peers and students. Various types of performance appraisal processes like evaluation by superiors, peers, students or sometimes combination of all or some are being adopted globally to identify the performance gap and also provide opportunities to overcome these gaps in university teaching faculties[35]; [17].

During the British Rule of India, in 1940, the Annual Confidential Report system was introduced. It is still used in public sector organizations. This process does not help in employee’s learning and development. It lacks employee’s active participation. This introduces communication gap and the feedback provided to employee can be biased. Another process is Management by Objectives but [7],[22] and many feel that MBO is more result oriented and does not consider the nature of work.

In 2002, as part of administrative reforms measure, some higher education institutions in Pakistan were introduced to Tenure track system. The idea behind is to enhance the quality of higher education in public sector universities of country by attracting qualified people and thus improving the performance of academic faculty of higher education institutions [39].

Traditional methods of performance management are less effective for knowledge based organizations like Universities and colleges. They heavily depend upon their employee’s commitment, effectiveness and innovation. To compete more effectively and efficiently, these organizations require their workforce to be flexible and innovative [34].

The higher and quality education requires efficient teachers. They should be accountable and should deliver quality education. But in many developing countries the teachers are less educated, less paid and less observed. These countries are implementing performance evaluation process on the basis of public and private sectors who have already achieved pace in this area. Hence Indian teachers have not been exempted from these pressures [15].

In higher academic institutions Government and policy makers have not given much thought on procedure of performance management and they have more or less neglected the importance of appraisal. Therefore, Universities and other higher educational institutions adopted a left-alone approach to managing performance of academic staff. The performance management of academicians operated on the basis of “high trust” within a philosophy that encourages value ideas, highlights autonomy of thought, academic independence and collegiality [11].

Proper implementation of performance management in Universities and other higher educational institutions will improve the quality of institution by improving the results of students, improving teaching methods, excellence in job, peaceful work environment and effective relationship at work place etc. It doesn’t need heavy investment and formalities to set up. The main worry was about designing on an effective performance management system in line with institutional objective and goals without violating their policy and culture. Clear
performance measures are to be defined for the faculties to perform well at work place. Roles and responsibility and scope of faculties needs to be broadened up by involving them to other areas like administration, communication, interpersonal traits, management abilities and teachers in favor to provide realistic knowledge to their student [10].

Along with India, Pakistan also got independence in August 1947. Manpower requirements and economy of newly born country were largely impacted because of poor state of education. This has severely impacted the social and cultural developments. University Grant Commission was established by the Pakistan Government in 1974 to maintain education. UGC has re-introduced new name of Higher education commission Pakistan in 2001[1].

To improve the quality of teaching staff Higher Education Commission (HEC) of Pakistan is executing various programs for their learning and development, some of them are as training programs, for scholarships and modify pay scale etc. In return of these initiatives and facilities provided to teachers, HEC is anticipating perfection from them in their occupation and loyalty and honesty with the organization also as there are many new recruitments going on for numerous institutions and therefore there is a necessity of a system that can serve as a tool for senior teachers which must have potential to check the discipline and control. With this motive, HEC assess the faculty performance through evaluation criteria. This will provide the foundation for taking administrative decisions e.g. allotment of responsibilities, compensation, promotion, training and expansion requirement as well as dismissal [27].

Conventionally, developing countries like Kenya, Poland, Romania, Russia, India etc. have unorganized and inappropriate appraisal processes that are largely based upon personal bias and instinctive and incorrect or inadequate data [41].

In India, faculty performance evaluation system has recently gained significant attention. Higher educational institutions in India still depend on the interview method, sporadic scrutiny, and inspection of directors. The evaluation of teacher’s performance is by and large depending on head of department and students [19].

Today majority of educational intuitions lack or doesn’t have any systematic evaluation of performance of teachers. The University Grants Commission recently issued a circular with the recommendations of forming a Task Force for ‘Developing a process of evaluation of the performance of teachers and designing of formats of guidance on systematic evaluation of performance of teachers. Process of appraisal documentation circulated by the University Grant Commission consists of self-appraisal followed by the further approval and verification of factual data by an authorized person. It was anticipated that the data of the evaluation of performance of the teachers will be archived by the institutions and this will use as the basis for recognition of excellence in performance. Also same will be useful in improving the overall efficiency of the institutions and, in succession, the system of education in the country [36].

Recognizing the need for performance appraisal of teachers in universities and colleges in India, UGC has introduced the system of Performance Based Appraisal System (PBAS) in India in the year 2010 in it UGC Regulations 2010. Thus, through this system, UGC has tried to quantify the performances of its teachers in terms of teaching and research.

V. RECENT PERFORMANCE BASED APPRAISAL SYSTEM INTRODUCED BY UGC

Several regulations were established by University Grant Commission (UGC) for faculties of higher academic institutions. UGC recognized these guidelines concerning minimum qualifications for appointment of faculties in universities and colleges in year 1956 from Ministry of Finance and later in year 2000 and revised in year 2008. The Gazette is formally issued in India 2010. These guidelines clarify qualifications for applicants and eligibility for recruitment and promotion to higher positions and under Career Advancement Scheme. These qualifications are related head of institutions, faculties, sports staff and librarians of higher academic institutions. In 2010, the sixth pay came with inclusion of API (Academic Performance Indicator) and PBAS (Performance Based Appraisal System). It has made teachers more accountable towards teaching and publications which is to link with their promotions [37].

In 2010 the API was protested in wide manner by Teachers unions on account of various drawbacks present in the system which according to them promotes discrimination in selections. Thus, in 2013 to overcome the protest UGC introduced capping method to calculate API total score. This score helps to claim direct recruitment and Career Advancement Scheme (CAS) for promotions of different sub-categories of Category III of PBAS. These sub-categories consist of books, research guidance, research papers, research projects and seminar and conferences attendance.

Though, it evidently states that the capping will be calculated in relation to the total API score claimed by the applicants. This study found that in capping method, Publication in journals has higher capping than the publication of books that may further create discrepancies among various disciplines of Universities. The Science stream was favored more as compared to other streams like language and humanities. Due to this, further discrepancies were created by using common standards for all the streams including teaching institutes and research centre, irrespective of whether they are policy or practice oriented,
or whether they are engaged in lab or field work. Application of capping compelled the faculties to give-up their hard earned points in their own areas of strength. The study also found that after discussion with faculties of higher academic institutions research projects undertaken by the faculties have a higher capping than the research guidance. This capping system damages faculties interests quite often since many of them started running behind obtaining the funds from the funding agencies. The result of which was that the Union Government of India started slashing down the budget on research grant and diverted it for other academic activities [14].

Many supervisors guide a number of PG scholars every year but at the end of the day no weightage is given to these supervisors in comparison to the other parameters and this become more disappointing and demoralizing. Consequently, it reduces the interest of supervisors to supervise quality work. Over past, few studies have also revealed the negative aspect of current appraisal system towards institutional buildings [14].

Thus, from 1956 until year 2008, the emphasis on higher education was to have uniform qualification throughout all types of academic institution for equality of pay and quality dissemination. But from the year 2010 onwards the commission recognized to formally introduce the API and PBAS so as to enable motivation and enthusiasm in faculties for their work which could help them attain their personal growth as well as growth for both the institution and the society.

VI. SIGNIFICANCE OF PERFORMANCE APPRAISAL

The following points would highlight the significance of performance appraisal system to be followed in any organization:

a. Increasing productivity: Organizations had used performance appraisal as an important device to get maximum productivity with their available human resource, as appraisal has shown the potential. An anticipated 80-90 per cent of organizations in the USA and UK use appraisals. This has resulted into a significant increase in productivity from 69 per cent to 87 per cent which has been observed between 1998 and 2004 in organization, which were using formal evaluation procedure [26].

b. Brings motivation and competitiveness: Organizations are mainly focusing on output, where output is evaluated by simple mathematical formula, outcome divided by an input both at an organizational and employee level. Output of an individual is dependent on ability, commitment and state of an employee. Commitment, ability and state are the best combination that can help to gain higher performance of employees. As per studies, it has been observed that appraisal system brings motivation and competitiveness in any organization. It is anticipated, that the higher level of competitiveness and productivity, the organization can supplement profit and better performance [30].

c. Improving the quality of performance: Well-organized mechanism of employee’s performance evaluation not only enhance employees satisfaction, morale and productivity of organization, but also this technique works as powerful tool to improve quality and contribution of an individual’s performance in an organization [4]. Number of researches has confirmed with research that productivity of organization increases around 43 percent through healthy appraisal process [32].

VII. CONCLUSION

When world has grown fast due to the globalization and its composite market become closer, the educational institutes cannot keep themselves away from the competition and have to take lead role to fight with educational facilitators. The faculty appraisal system of the Indian Universities needs to become more fair and open to accept the challenge of future. The organized structure of assessment is required to manage the performance and effectiveness of faculty.

In this paper, glimpses of the past performance appraisal methods has been evident, but if we solely focus on a country like India, we must focus on both, the industry and education sector. We can also see that in industry, appraisal system is much more systematic than in educational sector. So in academia, appraisal systems as designed by institutions need to be dealt with and their lacunae are resolved to make the appraisal system better. The most significant factor in determining performance appraisal system from the point of literature analyses is that the effectiveness of the appraisal mechanism and the acceptance of its users.

The appraisal system of faculty in developing countries for education system is somehow working but the significant result is not reflecting. The major reason is to oversight the measures of quality education and not clearly identified the variables responsible for it. There is lack of workable data from which sensible comparisons be carried out in developing countries. It is quite difficult to quantify quality teaching in diverse of territorial institutions within a country, the comparisons across countries are huge intricate. As per reports, significant amount of resources as well as technical support is given to teaching but the effectiveness of its implementation and results is far behind despite of accountability has been fixed at different stages.

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