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## Performance Appraisal Systems In Higher Education: An Exploration Of Christian Institutions

Forrest Flaniken  
*University of Central Florida*



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PERFORMANCE APPRAISAL SYSTEMS IN HIGHER EDUCATION:  
AN EXPLORATION OF CHRISTIAN INSTITUTIONS

by

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A dissertation submitted in partial fulfillment of the requirements  
for the degree of Doctor of Education  
in the Department of Educational Research, Technology and Leadership  
in the College of Education  
at the University of Central Florida  
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## ABSTRACT

Although there is substantial literature on the use of performance appraisal in the for-profit world, there is little literature available concerning the appraisal of staff positions in higher education. More knowledge is needed in this area since there is considerable research indicating that performance appraisal creates benefits to an organization and its employees. This study provides a comprehensive review of the development and use of performance appraisal in the United States, and a detailed look at the purposes, benefits, and challenges of performance appraisal. The study found a very high usage of staff performance appraisal in its population of 108 Christian colleges and universities. However, it also found a significant amount of dissatisfaction with the appraisal process due to (a) lack of leadership support for the appraisal process, (b) supervisors not being held accountable for the timely completion of their appraisals, and (c) the lack of training provided supervisors for doing performance appraisals well.

Dedicated to my wife, Kristen

## ACKNOWLEDGEMENTS

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I am extremely thankful for my wife Kristen, and for my sons Forrest III, Nelson, and Spencer, who stood with me throughout this doctoral program with their love, support, and patience, and who encouraged me to complete the task which I had begun.

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## CASE STUDY

Robert, a long-time employee of his state's most renowned university, was promoted to the position of Dean of Student Affairs two years ago. The process to receive this promotion had been quite competitive with several very qualified applicants, from both within and outside the university, expressing interest in the position. Robert felt very fortunate to have received the job offer, and as a result he experienced a certain sense of responsibility and pressure to perform well in this position.

However, after being in the position for two years, he had received no detailed feedback from his supervisor about his job performance. He interacted with his supervisor on a regular basis and occasionally heard encouraging words from his supervisor, but there had not been a formal, intentional meeting with his supervisor in which he had received written feedback. Therefore, Robert felt somewhat uncomfortable about how he was performing in his present position.

He requested a meeting with his supervisor to discuss his performance and future expectations. His supervisor responded, "Robert, if there was a problem with your performance, I would have said something to you." This was not what Robert wanted to hear. So he said, "Yes, I appreciate that, but I would really value the opportunity to discuss with you in more detail how specific areas of my responsibility are going, as well as receive feedback from you as to how I might grow and improve in my abilities and performance in the future." His supervisor then asked him "Robert, how old are you?" Robert said "60." His supervisor said "Robert, I think you're going to make it."

Robert left the conversation feeling uneasy about what had just transpired. He realized his supervisor's good intentions to convey encouragement to him, yet he felt he had not received the feedback he needed to really understand how he was doing and how he could improve in the future. He was very frustrated.

## CHAPTER 1: INTRODUCTION

People are the lifeblood of colleges and universities. If there are no students, faculty, administrators, and staff, there cannot be a college or university. People are their primary resource, and the development of these people is their *raison d'être*. Due to the paramount importance of the people who are in higher education, it is essential to understand how well these personnel are performing in their roles and if they are fulfilling the responsibilities for which they were hired.

In higher education the stereotypical notions of performance, assessment, and appraisal are most often applied to the students. Questions are asked concerning how students are performing academically in their studies as well as how well they are adapting to their new social environment in higher education (Creamer & Winston, 1999). The academic success of students is typically measured by grade point averages and professional examinations, while students' adaptation to their new social environment is measured through such things as retention rates and graduation rates.

However, another important question to be answered in the area of appraisal addresses the evaluation of the faculty, administrators, and staff of colleges and universities. These employees are hired to enable these institutions to help accomplish the goals for which the institutions have been established. A critical question deserving a thorough answer is whether or not the employees are in fact fulfilling the responsibilities and requirements of their positions. Do colleges and universities really know how well their employees are performing, and is this information being conveyed accurately and on a timely basis to their employees? Are there well-developed appraisal systems in place

that are used on a consistent basis? These are examples of some of the basic questions that the present work investigated while focusing on the performance appraisal of staff.

### General Background

Appraising employee performance in organizations is a complex and challenging task. It is an often unacknowledged but always inevitable component in the supervisory process. Judgments about how individuals are performing will be made whether or not there is a formal performance appraisal system because people regularly make judgments about others (Grote, 1996; Seldin, 1988). Since many of these informal, uninformed judgments will be erroneous, a formal appraisal system is needed to minimize the possibilities of bias and flawed judgments.

Performance appraisal is an unavoidable element of organizational life (Brown, 1988; Longenecker & Fink, 1999). There are many decisions in modern organizations that depend on performance appraisals, and they are widely used in most organizations (Burkhalter & Buford, 1989; Davis, 2001; DeNisi, 1996; Wanguri, 1995). They are an important piece of the process by which organizations attempt to direct themselves (Kreitner, 1998; Landy & Farr, 1983), and they have been considered a key component in the success of organizations for most of the twentieth century (Grote, 2002; Pettijohn, Parker, Pettijohn, & Kent, 2001; Rasch, 2004; Starcher, 1996).

From the organization's viewpoint, an important reason for performance appraisal is the principle of accountability of its employees. Responsibility and accountability must be aligned at every level of the organization, and performance appraisal encourages

this behavior. Non-alignment happens when employees are assigned tasks, but are not held accountable for the fulfillment of these tasks (Performance Appraisal, n.d.). From a different perspective, Bolman and Deal (2003, p. 281) suggest that performance evaluation “ensures a responsible, serious, and well-managed image. Its widespread use persists largely for symbolic reasons.” It suggests that an institution takes goals seriously, and is concerned about its performance and the performance of its employees.

An important goal for organizations is the improvement of employee job performance. It is generally accepted that performance appraisal is a necessary part of a successful performance improvement method (Creamer & Winston, 1999; Landy & Farr, 1983; Shah & Murphy, 1995). Performance appraisal allows organizations to inform their employees about their rates of growth, their competencies, and their potentials. It enables employees to be intentional in creating their individual developmental goals to help in their personal growth. There is little disagreement that if performance appraisal is done well, it serves a very useful role in reconciling the needs of the individual and the needs of the organization (Cleveland, Landy, & Zedeck, 1983; Conry & Kemper, 1993; Grote, 1996). If used well, performance appraisal is an influential tool that organizations have to organize and coordinate the power of every employee of the organization towards the achievement of its strategic goals (Grote, 2002; Lewis, 1996). It can focus each employee’s mind on the organization’s mission, vision, and core values. However, if performance appraisal is not done well, Grote suggests the process can become the object of jokes and the target of ridicule.

## Purposes of Performance Appraisal

Performance appraisal has become a term used for a variety of activities through which organizations seek to assess employees and develop their competence, improve performance, and allocate rewards (Fletcher, 2001). Grote (2002) identified the following purposes of performance appraisal:

1. Providing feedback to employees about their performance.
2. Facilitating decisions concerning pay increases, promotions, layoffs.
3. Encouraging performance improvement.
4. Setting and measuring goals.
5. Determining individual and organizational training and development needs.
6. Confirming that good hiring decisions are being made.
7. Provide legal support for personnel decisions.
8. Improving overall organizational performance (pp. 4-5).

Thomas and Bretz (1994) provide several additional purposes for performance appraisal including motivating employees, assessing employee potential, improving working relationships, assigning work more efficiently, and assisting in long-range planning.

Generally speaking, performance appraisal serves two basic purposes: the first is evaluative (or administrative) as the term “appraisal” implies, and the second is developmental (Brinkerhoff & Kanter, 1980; McKinnon, 1993; Rynes, Gerhart, & Parks, 2005). The evaluative function refers to the extent to which there has been progress toward goals as a result of the employee’s efforts. It is backward looking where past performance is reviewed in light of the results achieved. It can include the use of



performance appraisal for salary management, promotions, terminations, layoffs, and identifying poor performance (Boswell & Boudreau, 2000). It is used to not only enable organizations to make decisions about individuals, but also to compare candidates on some type of objective basis (Brinkerhoff & Kanter).

The developmental function is forward looking, directed towards increasing the capacity of employees to be more productive, effective, efficient and satisfied in the future. It covers such things as job skills, career planning, employee motivation and effective coaching between managers and subordinates. It is any endeavor concerned with enhancing attitudes, experiences and skills that improve the effectiveness of employees (Boswell & Bourdeau, 2002).

#### Benefits of Performance Appraisal

Widespread attention has been given in recent years to the function of the formal appraisal process because of the idea that a well designed and implemented appraisal system can create many benefits for organizations. Mohrman, Resnick-West and Lawler (1989) found that the appraisal process can: a) provide a managerial instrument for goal setting and performance planning with employees, b) improve employee motivation and productivity, c) encourage interaction concerning employee growth and development, d) make available a basis for wage and salary changes, and e) generate information for a variety of human resource decisions.

Murphy and Cleveland (1995) defined four ways in which performance appraisal can help organizations. First, performance appraisal can improve organizational

decisions including reward allocation, promotions, layoffs and transfers. Second, performance appraisal can improve individual career decisions and decisions about where to focus one's time and effort. Individual employees must make many decisions concerning their present and future roles in an organization. They must decide how, or if, they will develop future strengths and what sort of career goals they should pursue. Performance appraisal can provide accurate, timely and detailed feedback to assist in the quality of these decisions.

A third way that Murphy and Cleveland (1995) suggest that performance appraisal can assist organizations is by providing a set of tools for evaluating the effectiveness of current or planned ways of operating. Finally, performance appraisal can impact employees' views of and commitment to their organization. The quality of performance appraisal and feedback has a role in the perceptions of the fairness, legitimacy, and rationality of a wide range of organizational practices. Oberg (1972) noted that appraisals can help encourage supervisors to observe their employees more closely and to do a better job of managing them. None of these four benefits will automatically accrue to an organization due to the mere presence of a performance appraisal system (Murphy & Cleveland). However, an organization that does a good job at performance appraisal may incur some or all of these benefits.

### Difficulties with Performance Appraisal

The challenges associated with the design, implementation, and functional use of appraisal systems are well documented, and they continue to be frustrating to both

academics and practitioners (Longenecker & Nykodym, 1996). In this section I will briefly present four studies indicating some of the problems or challenges with performance appraisal and then later in Chapter Two these issues will be elaborated upon. In one review of appraisal literature, the authors found that regardless of an appraisal program's stated purpose, there were few studies that showed positive effects (Bernadin, Hagan, Kane & Villanova, 1998). In another study, it was reported that many companies are not satisfied with their performance appraisal systems and procedures (McNerney, 1995). In a study of 243 managers from 25 Fortune 1000 service and manufacturing companies, 76% of the managers said they were less than satisfied with the performance appraisal process (Longenecker & Fink, 2007).

There has been considerable research concerning the use of performance appraisal for multiple uses (i.e., evaluative and developmental). The question being asked is whether or not performance appraisal can be used simultaneously for both evaluative purposes and for developmental purposes. The results have often yielded conflicting findings and conclusions (Boswell & Boudreau, 2002). Some research has indicated that the developmental and evaluative uses of performance appraisal are incompatible and should not be used together, while other research has indicated there is either no correlation, or a slight positive correlation, when they are used together.

The above studies suggest that although performance appraisal may have widespread usage, there is much dissatisfaction and frustration by current users of these systems. There is ongoing debate among practitioners, academicians, and scholars concerning the actual effectiveness of performance appraisal (Schraeder, Becton, &

Portis, 2007). These studies serve to succinctly illustrate some of the controversies surrounding this topic.

### Impact of Organizational Structure and Culture on Performance Appraisal

Organizations differ in many ways including having different types of clients, using different technologies, having employees with different skill-sets, developing different structures and coordinating styles, and relating differently to their external environments (Baldrige, Curtis, Ecker, & Riley, 1977). While there are common elements in the various types of organizations including colleges and universities, hospitals, businesses, government firms, and prisons, no two organizations are the same. When considering the relevance of performance appraisal to colleges and universities, it is important to understand these institutions' distinct structural characteristics as compared to other organizations and how these characteristics may influence the acceptance and use of performance appraisal in colleges and universities.

In addition to organizational structure, organizational culture can also influence the use of performance appraisal. Understanding the organizational culture of colleges and universities can help clarify how campuses are being managed because culture seems to have a causal impact on managerial style and decision practices (Masland, 2000). The blend and predominance of various types of cultures at a particular institution can impact management practices which can then affect whether or not performance appraisal is used, the purposes for which it is used, and its success at the institution.

## Accountability in Higher Education

Holding higher education employees accountable for measurable outcomes is a relatively new occurrence (Heck, Johnsrud, & Rosser, 2000). This has been brought about by the increase in competition for scarce resources and the decrease in the public's trust in higher education practices which have in turn resulted in significant demands for colleges and universities to demonstrate their effectiveness and efficiency. Kerr, Gade, and Kawaoka (1994) suggest that the high level of autonomy held by higher education institutions may be eroding due to their costs rising more quickly than the level of inflation and to increasing doubts about the integrity of conduct by institutions and faculty. Institutions of higher education are being held to higher standards of accountability to the public, to students, and to public officials. Lonsdale (1998) argues that the quality of institutional accomplishments is determined fundamentally by the work of the employees individually and as a whole. Thus accountability, while being most visible at the strategic level, actually begins with the institution's employees through the evaluation of their performance (Kemper, 2005).

## Performance Appraisal in Higher Education

The emphasis on accountability has become an important mechanism for policymakers' efforts to exercise control over productivity in higher education. An effective performance appraisal system is one of many methods that are useful for assessing and improving productivity (Mani, 2002). Outside requests for accountability

have led to a greater importance being placed on the evaluation of outputs and formal assessment (Austin & Gamson, 1983; Blackburn & Pitney, 1988).

Although the widespread use of performance appraisal in organizations has been noted by various researchers, there is less known about the use of performance appraisal in higher education in the United States. Within higher education there has been considerable research done in the area of performance evaluation of faculty. However, little research exists on the assessment of staff performance (Seldin, 1988). Higher education has devoted little effort to appraisal and climate surveys for administrative personnel (Cox & Downey, 2002). Winston and Creamer (1997) stated that in most colleges and universities, employees report that performance appraisal is a weakness in the overall employment practices. Evaluation is becoming a significantly more important instrument for policymakers' efforts to implement control over higher education productivity, but there is little empirical work on the performance and effectiveness of higher education administrative employees who contribute to this productivity (Heck et al., 2000).

#### Statement of the Problem

The focus of this exploratory study was to determine if the Christian colleges and universities in the United States that were members of the Council for Christian Colleges and Universities (CCCCU) were using performance appraisal with their staff as an important management tool. The study was limited to this subset of Christian colleges and universities because there was little written in the literature on performance appraisal

for these institutions, and because the researcher had an interest in these schools due to a teaching relationship he had with one of the schools.

A review of the literature did not yield any study focusing on the use of performance appraisal for staff positions in Christian colleges and universities. Nonetheless, the present investigation was informed by the work on these issues in other areas. For example, in a national study done by Creamer and Winston (1999) of student affairs personnel, 33% of deans, 37% of directors, 27% of coordinators, and 26% of support staff indicated they had not received a formal performance appraisal in the past 12 months. This study randomly selected 50 institutions from four Carnegie classification types (research institutions, comprehensive colleges and universities, liberal arts colleges, and two-year colleges) in three regions: the Northeast, the Midwest, and the West. The study received responses from 121 institutions from an original sample size of 491 institutions. Of the 121 institutions that responded to the survey, 11% were research universities, 36% were comprehensive colleges or universities, 20% were liberal arts colleges, and 33% were from two-year colleges. In the survey questions that pertained to performance appraisal, respondents were asked how frequently performance appraisal took place, what information was used in the evaluation, and what type of follow-up took place after the performance appraisal was completed. The results suggest that a significant number of administrative staff are not receiving appraisals. These results are less than the 75% to 90% of all companies that use a formal performance appraisal system (Grote, 2002). Overall, there is modest empirical work concerning the accomplishments and effectiveness of higher education staff (Heck et al., 2000). Latham

and Wexley (1980) argued that performance appraisal is the most important system for managing human resources within organizations. Therefore, it is essential to determine if these colleges and universities are using this important management tool.

The budgets for institutions of higher education have high labor content and their budgets are primarily devoted to personnel expenses (Johnsrud, 2002). Their success significantly relies upon superior faculty, administrators, and staff. Nevertheless, colleges and universities are not known for their consideration of human resource issues as they pertain to the quality of work life on campus for their employees.

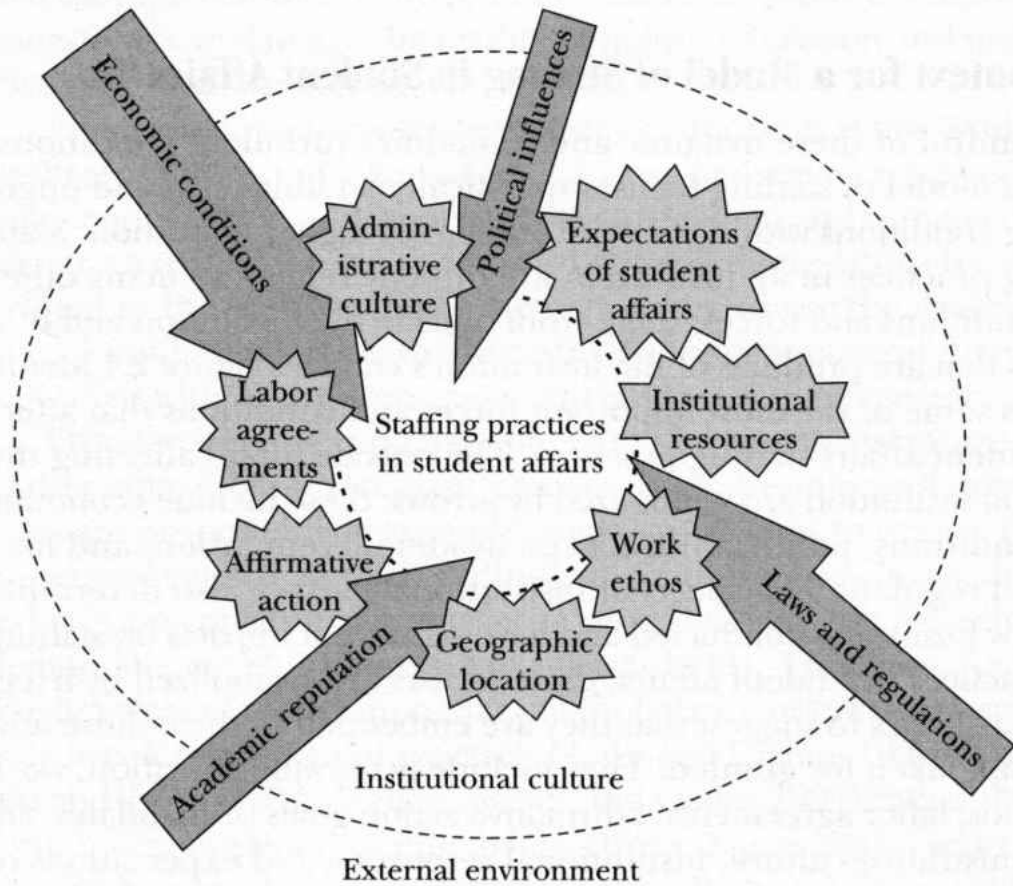
This study determined, based on the input of the Human Resource Director at each institution, how widespread the usage is of annual performance appraisal systems for the staff of Christian colleges and universities that are members of the CCCU. The study sought to understand the challenges and pitfalls that the institutions have in using them, and investigated the benefits received from, and the challenges encountered in, their performance appraisal systems. If these institutions were not using this tool or not using it effectively with their staff, they could have been overlooking the significant benefits that a performance appraisal system can create. Using performance appraisal would provide one way for them to meet the increasing accountability demands they are experiencing from policymakers and to create organizational focus and achieve the outcomes they desire to achieve. This is particularly true in times of economic crisis when performance appraisal can help institutions use their resources more efficiently.



## Conceptual Framework

This study of performance appraisal in Christian higher education institutions was based on a conceptual framework developed by Winston and Creamer (1997) that describes staffing practices in Student Affairs Divisions of colleges and universities. While the Winston and Creamer model focused on the Student Affairs Divisions of colleges and universities, the principles contained in the model should apply equally to all administrative staff and not just Student Affairs staff. The authors emphasized staffing practices because it is through these practices that colleges and universities live out their fundamental beliefs about the value and worth of their people and the fundamental goals of the institution. In their staffing model, these authors identified the most important forces and conditions that affect student affairs staffing practices within (a) the context of the external environment and (b) the institutional culture (see Figure 1).

In the external environment these forces and conditions consist of economic conditions, political influences, laws and regulations, and academic reputation. Economic conditions refer to the U.S. and world economies and their impact on both the higher education institutions and the number of people seeking admission to colleges and universities. (Winston & Creamer, 1997). Political influences refer to those people who, while not directly connected with the institution, try to exert influence on various aspects of its operations and include such people as public office holders, alumni, religious groups and spokespersons, special interest groups, local community members and leaders, parents, present or potential donors to the institution, and commercial operations wanting to sell their services to the institution (Winston & Creamer, 1997).



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Figure 1 Context of Student Affairs Staffing Practices

There are many complicated laws and regulations concerning higher education and they come from many sources including state and federal constitutions, statutes, administrative rules and regulations, common law, and case law. There are also academic customs and usage, contracts, and institutional rules and regulations that apply. The final external environmental force to be considered is the academic reputation of the institution which is a major factor in its ability to recruit new personnel. The greater the reputation of the institution, the higher the caliber of recruits that can be expected to apply. Overall then, these four external environmental factors influence staffing practices within an institution.

There are also institutional culture factors that impact staffing practices. To understand staffing within an institution, the circumstances or culture must be understood in which the organization exists and from which it gains its meaning. Winston and Creamer (1997, pp. 26-39) describe seven of these factors: (a) geographical location of the institution, (b) institutional resources, (c) affirmative action, (d) collective bargaining agreements, (e) administrative culture, (f) work ethos, and (g) expectation of Student Affairs.

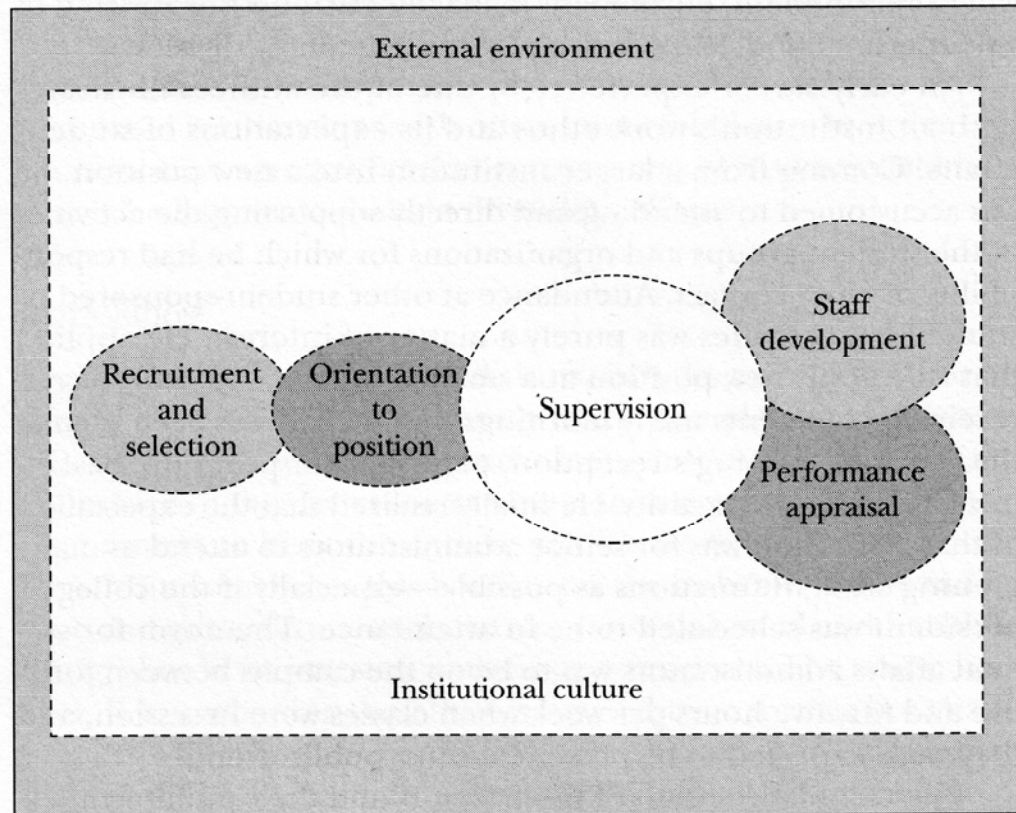
Within the context of the external environment and the institutional culture described above, Winston and Creamer (1997) define five essential elements of their staffing model for Student Affairs: recruitment and selection, orientation to position, supervision, staff development, and performance appraisal (see Figure 2). While these five elements of the staffing model are interlinked and have overlapping activities, the

current study focuses primarily on the fifth component which is performance appraisal and how it applies to those employees in staff positions.

Winston and Creamer (1997) suggest that for performance appraisal to be most useful, it must be inherently joined to both supervision and staff development. They define performance appraisal as “an organizational system comprising deliberate processes for determining staff accomplishments for the purpose of improving their effectiveness” (p. 43). In their research, they found that in higher education performance appraisal is frequently either looked upon in a negative way because it criticizes peoples’ efforts, or indifferently because it is merely a paper exercise that has little to do with other aspects of institutional life or work conditions.

There are certain principles or system requirements that are necessary for performance appraisal to be successful. These principles include a dual focus on employee and organizational improvement; a link from performance appraisal to institutional productivity and rewards; the recognition of contextual constraints on employee performance; the constant involvement of all stakeholders; the requirement that procedures are clear, open, and fair; ongoing review and update of position requirements; the requirement that appraisers show leadership and recognize their unique contribution to the results of the appraisals; and the avoidance of all systematic biases (Winston & Creamer, 1997, pp. 281-282). These principles are explained in more detail below:

1. Focus on both staff and organization improvement. The primary reason for performance appraisal is improvement. The needs of the organization are the



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Figure 2 Components of Staffing in Student Affairs

underlying reason for establishing staff positions, and performance appraisal systems exist to help guide staff to achieve the goals of the organization. But performance appraisal systems do not exist solely or even primarily as a control mechanism. Their primary purpose is organizational functioning through staff and institutional improvement.

2. Link performance appraisal to organizational productivity and rewards.  
Individual employees benefit from performance appraisal and should have a clear association to organizational achievement using a recognized reward system. Not having this clear link may result in negative consequences on employee morale and productivity.
3. Recognize contextual constraints on employee performance. Employees work in situations that can be shaped by circumstances beyond their control, so performance appraisal must consider both individual and environmental conditions.
4. Ensure ongoing participation of all stakeholders. All the staff should be involved in the design and implementation of the performance appraisal system to encourage their ownership and to promote the credibility of the system. The system will be flawed to the extent that staff do not participate in the complete process.
5. Ensure system clarity, openness, and fairness. For the system to be effective, the employees must understand it well and have the confidence that the system is fair to all staff. This can be accomplished by reviewing the system on a regular basis.
6. Complete a regular review and update of position requirements. It is important that all position descriptions are up-to-date so that they reflect the current job demands. Because the environmental circumstances can and often

do change, both the employee and his/her supervisor need to recognize the most current expectations at the time of the appraisal.

7. Require leadership from supervisors and recognize the importance of their contribution to the results of the appraisal process. Supervisors, who act as leaders of their departments and divisions and recognize that they do shape both individual and organizational behavior, are more likely to be effective in carrying out their duties in the appraisal process than supervisors who perform their duties unthinkingly and without interest.
8. Prevent systematic biases. The existence of any system biases, either unintentional or intentional, will most likely cause the failure of the performance appraisal system. If the staff do not trust the system because of biases toward certain behaviors or practices, they will lose confidence and not derive any benefit from the system.

The above principles of staffing practice confirm that performance appraisal is a complex and sensitive organizational system that must be planned and implemented well to be successful.

In Chapter Four of this current study, the data is analyzed using the principles that Winston and Creamer (1997) determined to be necessary for successful performance appraisal. The analysis compares similarities and differences between them, and it determines if any new requirements for successful performance appraisal are identified.

### Research Questions

This exploratory study sought to advance the knowledge base concerning the use of performance appraisal in Christian higher education, and it was guided by the following research questions:

1. To what extent are the Christian colleges and universities in the United States that are members of the CCCU using performance appraisal for their staff?
2. What benefits do these institutions receive from their performance appraisal systems?
3. What are the challenges and pitfalls these institutions experience using a performance appraisal system?

### Limitations and Delimitations

The limitations of this study include the following:

1. It was assumed that the survey participants (Human Resource directors) at each institution had sufficient knowledge and understanding of their performance appraisal system to answer the survey questions accurately and truthfully, but this was not verified.
2. Although the entire population was surveyed, a potentially low response rate to the survey could reduce the degree to which the results were representative of the population. This could reduce the validity of the conclusions drawn from the results of the questionnaire as they apply to the entire population.

The delimitations of this study include the following:



1. This study researched the use of performance appraisal in the 108 institutions in the Council of Christian Colleges and Universities (CCCU), a subset of all U.S. colleges and universities, and this may limit the inferences that can be drawn from this study as they might apply to all colleges and universities.
2. This study focused on the use of performance appraisal among the staff positions only and it did not include faculty or administrators.

### Definition of Terms

Administrative Appraisal: refers to the procedures used to assess the performance of staff (Berquist & Tenbrink, 1977).

Assessment: “The systematic collection, review, and use of information about educational programs for the purpose of improving student learning and development” (Daugherty, 2001).

Council for Christian Colleges and Universities (CCCU): a group of colleges and universities that agree to the criteria for membership in the CCCU which include (a) a strong commitment to Christ-centered higher education, (b) location within the U.S., (c) full regional accreditation, (d) primarily four-year comprehensive colleges and universities, (e) broad curricula rooted in the arts and sciences, (f) Christians hired for all full-time faculty and administrative positions, and (g) sound finances. Institutions become members of the CCCU by fulfilling the application requirements established by the CCCU.

Evaluation: The process of interpreting a measurement by means of a specific value, or set of values, to determine the degree to which the measurement(s) represent a desirable condition (Daugherty, 2001).

Human Resource Director: an employee of the college or university who has direct oversight and responsibility for the Human Resource department, or who has oversight of the Human Resource department as one of several of his or her responsibilities.

Job performance: refers to how well employees satisfy the requirements and responsibilities of their position.

Performance Appraisal: a term used for a variety of activities through which organizations seek to assess employees and develop their competence, improve performance, and allocate rewards (Fletcher, 2001).

Performance Appraisal Methods: techniques and instruments developed and designed for the purpose of measuring and assessing employee performance in a systematic format that can include narration, documentation, rank ordering, rating scales, behaviorally anchored rating scales, checklists, essays, critical incidents, and management by objectives.

Performance Appraisal System: a group of interactive processes determining job expectations, writing position descriptions, determining appraisal criteria, developing assessment tools, and collecting and reporting results (Brown, 1988).

Staff: includes those employees at a college or university that are working in support services including such areas as student housing, maintenance, food service,

security, human resources and accounting. Staff does not include faculty or administrators.

### Significance of the Study

A review of the literature indicated that although there is significant literature on the use of performance appraisal in the for-profit world, there is considerably less literature available in the field of higher education. Within higher education, most research focuses primarily on faculty appraisal, with much less research completed for staff positions. Within the area of staff positions, the literature includes little information on such topics as how widespread is the usage of performance appraisal, the benefits and challenges derived from using these measures, and how performance appraisal is used within these institutions. Additional knowledge is needed in this area since there is considerable research indicating that performance appraisal, if done well, creates benefits to organizations (Cleveland, Landy, & Zedeck, 1983; Grote, 1996; Murphy & Cleveland, 1995).

This topic is relevant to CCCU institutions because little is known about the use of performance appraisal for the staff in these 108 colleges and universities. This study will enable CCCU members to understand how widespread the use of performance appraisal is for the staff within the CCCU as well as understand how performance appraisal is being used and the benefits that are derived from its use. The results of this study can be used by individual members of the CCCU to give impetus to either begin using, or to improving, their existing appraisal systems. This study will also contribute to

the broader understanding of how widespread the use of performance appraisal is for staff within all institutions of higher education, as well as to the understanding of how they use performance appraisal and what their benefits and challenges are. This study did not research the use of performance appraisal for faculty or administrators at the institutions within the CCCU, nor did it review the use of performance appraisal for any staff at non-member schools.

### Summary

The purpose of this chapter was to introduce the topic of performance appraisal and its use in higher education. This chapter described the relevant issues of performance appraisal including its purposes, benefits, challenges, the impact on organizational culture and governance, and accountability. It also described the statement of the problem that was researched, the conceptual framework that was used as a basis for the research, the research questions used, and the significance of the problem that was researched.

The next chapter traces the historical development of performance appraisal, and then describes the development and use of performance appraisal for the staff in colleges and universities.

## CHAPTER 2: LITERATURE REVIEW

### Historical Development of Performance Appraisal

#### Early Beginnings

While the importance and usage of performance appraisal has grown over the past 45 years, the formality of evaluating employees through the use of performance appraisal has been present for centuries (Murphy & Cleveland, 1995). It can be traced back to the third century A.D. when Sin Yu, Chinese philosopher, was critical of a prejudiced rater working for the Wei dynasty on the basis that “the Imperial Rater of Nine Grades seldom rates men according to their merits but always according to his likes and dislikes” (Patten, 1977, p. 352). In the 1500s, St. Ignatius Loyola developed a process to assess the members of his religious order (Lopez, 1968). In 1648, the *Dublin (Ireland) Evening Post* purportedly rated lawmakers using a rating scale based on personal character traits (Hackett, 1928 as cited in Murphy & Cleveland, 1991). The first business use of merit rating was probably made by Robert Owen at his cotton mills in New Lanark, Scotland, in the early 1800s (Heilbroner, 1961). In the cotton mills, wooden cubes of various colors representing various levels of merit and achievement were hung over each employee’s work area. As employee performance varied, the wooden cube was changed to reflect it.

#### Development of Performance Appraisal in the United States

The formal use of performance appraisal in the U.S. probably began in 1813, when army General Lewis Cass gave the War Department an assessment of each of his

employees using such expressions as “a good-natured man” or “knave despised by all” (Bellows & Estep, 1954, p. 118). In 1854, the U.S. Congress established the first Federal pay structure for Federal employees, but it did not require performance appraisals to analyze job requirements as a starting point for establishing pay (Evolution of White-Collar Pay, n.d.). The Pendleton Act was passed in 1883, which established a performance-based employment structure and generated the necessity for a system for defining job-related tasks and evaluating job applicants (see Appendix A). The concept of performance evaluation and linking pay to performance for Federal employees began to emerge at this time. The Bureau of Efficiency established a standardized efficiency rating system in which departments rated employees’ performances and changed their compensation based on the rating.

In 1923, Congress passed the Classification Act that established a graphic rating scale for Federal employees in which employee performance was rated by supervisors along a scale for every task completed. One challenge that was found in this system was the need for greater standardization in job categories and pay rates before this system could operate effectively. This need was addressed in 1950, with the passage of the Performance Rating Act which required agencies to develop appraisal methods with the approval of the Civil Service Commission. Its purpose was to identify the most and least effective workers and to develop relationships between supervisors and employees. This Act allowed agencies to create their own performance appraisal procedures that followed legal and Civil Service Commission guidelines.

The complexity of the United States work environment increased in the following decades and the Federal Government faced stiffer and increasing performance expectations from its employees (Evolution of White-Collar Pay, n.d.). It was in this environment that the Civil Service Reform Act of 1978 was introduced by President Carter and passed by Congress with the purpose of improving the management of the Federal Government. This Act mandated agencies to utilize appraisal systems for all Federal employees. It included such things as appraisals based on job-related performance criteria and employee input utilized in developing performance requirements. Also, results of the appraisals had to be used in making decisions concerning training, promotion, retention, and the removal of employees. Appeals of appraisals were not allowed outside the agency.

Another influencing factor in the progress of performance appraisal in the U.S. was the work of industrial psychologists at Carnegie-Mellon University and their work in the choice of salesmen and man-to-man rating forms based on trait psychology (Scott, Clothier, & Spriegal, 1961). The man-to-man rating form was subsequently utilized by the U.S. Army in World War I to evaluate the accomplishments of officers (Scott et al.). In 1952 some reports were produced for the U.S. Army that directly addressed the rating process (Cleveland, Landy & Zedeck, 1983).

Man-to-man ranking by department is not used commonly in business or in assessing performance, but it can be a useful technique for deciding the priority of layoffs. In the late 1960s it was used by numerous organizations to make dismissal and retention decisions when they suffered reductions in government contracts (Patten, 1977).

This approach was given the name the “totem approach” to employee reductions.

Appraisal of business employees became accepted and used after World War I while the appraisal of managers did not become popular until after World War II (Murphy & Cleveland, 1995).

Performance appraisal had become an established management tool in many organizations by the early 1950s (Murphy & Cleveland, 1995). In 1962, performance appraisal was being used in 61% of the organizations examined (Spriegel, 1962). The 1964 Civil Rights Act and the 1966 and 1970 Equal Employment Opportunity Commission guidelines for control of selection procedures applied significant pressure on organizations to document their appraisal systems (DeVries, 1986). The necessity for quick improvements in organizational appraisal practices was brought about by federal legislation and the civil rights and women’s movements of the 1960s and 1970s (Murphy & Cleveland).

### Trends in Performance Appraisal

#### Evaluation Methods

Performance evaluation methods are the systems and processes through which appraisal is carried out in an organization. The methods include determining the types of data collected and evaluated in the appraisal, the forms and frequencies of communication that take place between supervisors and their employees, and the various types of evaluation tools used to measure performance. It is important to understand the evaluation methods used because they can influence the usefulness of the appraisal



system in an organization and the perceived or actual benefits gained from its use. Performance evaluation methods have been described by multiple authors in various ways. Three of these methods, as described by Landy and Farr, Berquist and Tenbrink, and Sims and Foxley, are mentioned here. Landy and Farr (1983) define a method in which the performance appraisal data is organized into two groups: judgmental or subjective measures and nonjudgmental or objective measures. Although judgmental measures are more broadly used, objective performance measurements (e.g. production rates, time to complete a task, and scrap rates) have been helpful measures of performance for routine, manual 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, turnover, and accidents, have also been researched (Campbell et al., 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 turnover as a standard is complicated because it is hard to differentiate between voluntary and compulsory turnover. Grievances are not typically obtainable for nonunion employees. Accidents could be caused by the people or by their environments. The rate of promotion or salary increases are not good standards because the rate could be controlled by a quota set by the organization and salary modifications could be influenced by the economic well-being of the organization rather than employee

performance. These problems challenge the validity of the measures (Murphy & Cleveland, 1995).

Landy and Farr (1983) also identified several problems with objective measures and potential reasons why judgmental measures have been used instead by psychologists for evaluating managerial behavior. First, objective measures tend to have low reliability. For example, factors external to the individual, such as the organization's sick leave policies, may influence the reliability of absence measures or the period of inspection may not be constant across measures. Another reason is that objective measures may be obtainable for only a partial number of jobs. For example, it does not make sense to collect information on tardiness or absences from sales representatives or development employees who may not work a fixed number of hours per day or per week. A final inadequacy of objective performance measures is the changing nature of skilled and semi-skilled work. When employees who operate machines are replaced by employees who just tend to a machine, the output of the job can become more reliant on the machine functioning correctly and its related downtime, rather than upon the ability and output of the machine operator. The changing nature of work implies that subjective measurements may continue to be more popular and useful compared to objective measures (Murphy & Cleveland, 1995).

The use of management by objectives (MBO) to define and measure job performance is often used with managerial and executive performance. There is a particular importance placed on the contribution of the employee to the organization's goals and results (Drucker, 1954). There are several elements common to MBO

programs. First, MBO includes involvement in goal-setting. The supervisor and the subordinate work together to define the goals and performance measurements for the subordinate. They decide what needs to be achieved and how the achievements will be measured. Secondly, MBO entails objective feedback regarding advancement towards accomplishing the goals. In a MBO system, performance is likely to be defined in terms of measurable outcomes. However, the setting of goals, targets, and objectives is very subjective, involving negotiation between the manager and the employee (Murphy & Cleveland, 1995). If a high performing employee fails to achieve his or her goals, it is not unusual for the manager to renegotiate objectives so that the manager can be sure that the capable performer will obtain outcomes that are seen as good performance. Two of the disadvantages of a MBO system include a significant amount of paperwork, particularly in the beginning stages of a new system, and the concern that MBO tries to make unclear responsibilities and goals exact and compels employees to measure objectives that are not measurable (Berman, 1980).

In a second method of describing evaluation processes, Berquist and Tenbrink (1977) found six primary approaches used to evaluate college and university administrators:

1. Unstructured narration. In this approach, the supervisor provides a written assessment of the employee's strengths and weaknesses, along with suggestions for improvement. It is assumed the supervisor will write a thoughtful statement using firsthand knowledge of the employee and that this approach will be as productive as any more formal approach. If it is done

well, it can provide excellent detailed information about the performance of the employee. However, this approach makes it difficult to do comparisons among several employees because each evaluation could focus on diverse aspects of each employee's performance.

2. Unstructured documentation. In this approach, the supervisor documents the activities and accomplishments of the employee by requesting letters of recommendation, interview data, daily logs, and ratings of other employees in programs under the responsibility of the supervisor. The approach primarily involves independent evaluation and does not represent a formal program. It also does not produce information concerning the activities and successes, or objectives and failures, of the employee during the appraisal time.
3. Structured narration. This approach requires the supervisor to answer a series of questions about the employee's performance. The questions might include such things as what are the employee's greatest strengths, where are the greatest needs for improvement, what would this employee's colleagues say about this employee, and to what extent has the employee fulfilled the following goal.
4. Structured documentation. In this approach the supervisor and employee agree on the performance categories (e.g. job functions, skill areas, performance objectives) that are meaningful for the employee's position. This can be done with the input of subordinates, peers, instructional employees, and others who understand the position at hand. At the end of the evaluation

period, the employee provides an explanation of how he or she performed against the performance categories. It is then up to the supervisor to document the claimed successes of the employee.

5. Rating scales. This is the most widely used method of evaluating administrative performance and many types of scales are used. Some drawbacks to using scales include they are usually not tailored to specific positions, the characteristics used for appraisal may not be appropriate or may be incorrectly scaled, and scales do not provide the depth of understanding that a thoughtful narrative appraisal provides.
6. Management by objectives. In this approach, as mentioned earlier, the focus of the appraisal changes from the personal attributes of the employee to performance in the job. It is a results-oriented rating technique that is dependent on goal setting to create objectives for the employee.

These six approaches resemble, in many ways, the subjective measures described earlier by Landy and Farr with the exception of management by objectives that was described by both Landy and Farr (1983) and Berquist and Tenbrink (1977) as an objective measure.

In a third method for describing evaluation procedures, Sims and Foxley (1980) provide four classifications used by student affairs professionals: comparative methods, absolute standards, management by objectives, and direct indexes. Comparative methods include: (a) rank-ordering all employees from lowest to highest in effectiveness; (b) alternately choosing the most effective and then the least effective employee, moving their names to separate lists and repeating the process until all names have been removed

from the initial list; (c) comparing each employee to every other employee and determining a final ranking based on how many times the employee was ranked above the other employees; and (d) a forced distribution where a certain percentage of the employees are 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 involves identifying the significant requirements of a job and the supervisor is asked to rate each employee on each category. Weighted checklists involve compiling a list of employee goals that the supervisor uses for each employee to determine which of the goals was completed. Forced choice requires the supervisor to choose the most descriptive statements for each employee using a list of items that differentiate between successful and unsuccessful completion and between desirable and undesirable employee traits. Conventional rating involves rating employee 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.

Management by objectives was mentioned previously and does not need to be reviewed again. The fourth classification described by Sims and Foxley (1980) is the direct index method which typically uses the measurement of outputs from each employee and is rarely used in student affairs.

The above three 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.

### Rating Scale Format

The rating scale format deserves additional explanation because most of the research on performance appraisal is about the design of appraisal scales. The issues deal with (a) comparisons between persons (norm-referenced criteria) and comparisons with a standard (criterion-referenced formats), (b) use of trait compared to behavioral anchors, (c) the best possible quantity of anchors, (d) establishing formats conducive to the smallest number of rater errors, (e) scaling of anchors, and (f) comparison of format validity (Murphy & Cleveland, 1995).

Within the rating scale format, most research has been done in the area of criterion-referenced scales with the goal of increasing the measurement quality and the values that such scales generate (Murphy & Cleveland, 1995). The research endeavored to understand the meaning of the response categories or anchors, the kinds of anchors (trait, behavior, adjective, number, etc.), and the quantity of anchors that yielded distinct ratings and that raters found adequate. Other attempts to improve the graphic scale included the Behaviorally Anchored Rating Scales, the Behavioral Observation Scales, the Mixed Standard Rating Scale, and the Forced-Choice Rating Scale.

Rating scales use words or phrases to indicate the extent to which a behavior or attribute is present. In a rating scale using traits, a supervisor is asked to rate an employee indicating the extent to which the employee is, for example, industrious, energetic, or cooperative, using a 1-to-5 scale (where 1 equals “Never” and 5 equals “Always”) based on how often the employee demonstrates that behavior. Since trait scales are susceptible to rating errors (Brown, 1988), the behaviorally anchored rating scale has gained more favor because it is consistent with job analysis and position descriptions that are focused on behaviors rather than traits. Supervisors compare their employees’ performance with descriptions of position-related behavior (see Table 1 for an example of a behaviorally anchored rating scale).

When rating scales are used, there is an assumption that the appraiser is relatively objective and precise. However, the appraiser’s memory could possibly be fallible and the appraiser may subscribe to assumptions about the person being evaluated that may or may not be accurate. The appraiser’s intentional or unintentional biases produce rating errors. Seldin (1988) provides a list of five potential biases that could arise in this situation:

1. Halo bias refers to the tendency of supervisors to be influenced in one area of performance by the rating they gave their employee in another area of performance. For example, a high rating in the area of leadership may influence the rating given in interpersonal skills or job knowledge. A low rating in self- development may carry over to a low rating in quality of work or customer service.



Table 1

Example of a Behaviorally Anchored Rating Scale (BARS)

<b><i>Professional Development refers to the employee's personal commitment to, and growth in, job knowledge, interpersonal skills, job performance, and personal development.</i></b>	
Exceptional Performance	<p>Has a passion for professional development as reflected in the following ways:</p> <ul style="list-style-type: none"> <li>• Actively pursues opportunities for relevant training</li> <li>• Is a model of seeking out and utilizing input and feedback regarding his/her profession and performance from performance appraisals, peers, manager, etc.</li> <li>• Is a model of maintaining a standard of excellence in all performance objectives</li> </ul>
Very Good Performance	<p>Has a demonstrated desire for, and commitment to, professional development as reflected in the following ways:</p> <ul style="list-style-type: none"> <li>• Consistently takes advantage of opportunities for relevant training</li> <li>• Consistently seeks input and feedback regarding his/her profession and performance from performance appraisals, peers, manager, etc.</li> <li>• Strives to improve in all performance objectives</li> </ul>
Acceptable Performance	<p>Has an acceptable understanding of the necessity for professional development as reflected in the following ways:</p> <ul style="list-style-type: none"> <li>• Generally takes advantage of opportunities for relevant training</li> <li>• Accepts input and feedback from performance appraisals, peers, manager, etc.</li> <li>• Is aware of specific developmental needs and is willing to work on performance objectives that require improvement</li> </ul>
Performance Requires Improvement	<p>Lacks acceptable professional development as reflected in some or all of the following ways:</p> <ul style="list-style-type: none"> <li>• Does not take advantage of opportunities for relevant training</li> <li>• Has difficulty accepting input and feedback from performance appraisals, peers, manager, etc.</li> <li>• Shows inadequate willingness to work on performance objectives that require improvement</li> </ul>

Adapted from the Performance Appraisal System used at Wycliffe Bible Translators, 2009.

2. Leniency occurs when a supervisor gives a disproportionate number of favorable or unfavorable ratings. For example, a kind, soft-hearted supervisor might give consistently favorable ratings while an irritable supervisor might be inclined to give consistently unfavorable ratings.
3. Central tendency bias refers to when a supervisor consistently gives average ratings and avoids the favorable and unfavorable ends of the rating scale. This both penalizes the outstanding performer and covers up the poor performance of underachievers. It also has a detrimental impact on the morale of other employees.
4. Recency bias occurs when recent events have more influence on the appraisal than less recent events. An employee's entire year of very favorable performance can be negatively impacted by a single unfavorable event occurring just before the performance evaluation is completed. Or on the contrary, a mediocre performance over the course of a year can be overshadowed by one very recent success.
5. Guessing bias occurs when the supervisor does not have relevant information to render a meaningful judgment, but provides a response anyway based on some aspect of the employee's performance (pp. 49-52).

Seldin (1988) concludes that there is no simple way to evaluate performance despite significant advancement in evaluation procedures. However, he further notes that much of the concern over rating scales and bias is not warranted and that there are many ways to successfully evaluate employee performance. Even though rating scales are a critical

area in performance appraisal supported by the research literature, it is not the focus of this study.

### Performance Appraisal and the Legal System

The performance appraisal process is subject to the same laws and principles as are recruitment and hiring of employees in the area of equal employment opportunity. The results of performance appraisal have a significant role in organizational decision-making in areas including promotion, selection for training programs, payroll administration, discipline, and terminations (Buford, 1989). In Title VII of the Civil Rights Act of 1964, discrimination is forbidden based on race, color, religion, sex, or national origin. In 1967, the Age Discrimination in Employment Act was passed which forbade discrimination against people age 40 and over. The Equal Employment Opportunity Commission (EEOC) was given responsibility for overseeing and implementing these acts.

According to Murphy and Cleveland (1995), the Uniform Guidelines on Employment Selection issued in 1978 by four US governmental agencies (the EEOC, the Department of Labor, the Department of Justice, and the US Civil Service Commission) are the single most significant influence on the development and use of performance appraisal in the United States. The guidelines apply to tests and other measures which are used in employment decisions (Baird, Beatty, & Schneier, 1987). They have been adopted by the United States government to attempt to get rid of unfair discrimination in organizations (Landy & Farr, 1983). Evaluations are considered to be tests and are

subject to guidelines enforced by the EEOC (Murphy & Cleveland, 1995). Therefore performance appraisal becomes an important legal issue when used in making any type of personnel decision. It was also ruled that performance appraisals could be reviewed in a validation study. The Supreme Court questioned an empirical study to justify the results because the measurements used were unclear and subject to numerous inaccuracies (Bernardin & Beatty, 1984). Therefore, performance appraisals are subject to court action or consideration for at least two reasons: a) the precision or strength of ratings used to predict future performance and b) the precision or strength of ratings to assess past performance. Also, because of EEOC guidelines and interpretation of the Age Discrimination in Employment Act in 1981, performance appraisals have emerged as very appropriate for establishing a Bona Fide Occupation Qualification (BFOQ) such as a maximum age limit. In order to assert a BFOQ, the organization must show that an age limit is defensible by business need or for public safety.

In reviewing guidelines used for developing legally sound appraisals, Bernardin and Beatty (1984) suggest that legally defensible appraisals should contain evaluation measurements that are based on job requirements, and the standards should reflect aspects of job performance rather than an overall rating. The expectations should be defined in behavioral terms and must be shared with employees. A sound evaluation system should require high-quality ratings and whenever possible, there should be multiple evaluators rather than a single evaluator. Extreme ratings should be documented with facts such as critical incidents, dates, and locations. Finally, a sound performance appraisal system has a formal appeal process (Bernardin & Beatty). An additional

characteristic of a strong performance appraisal system, cited by Burkhalter and Buford (1989), is that it should have a provision for written instructions which is a prerequisite for methodical, unbiased appraisals. The higher the degree of perceived fairness of the performance appraisal system by employees through such traits as clear expectation of goals for the employees, allowing for the participation of employees in the evaluation process, high quality ratings, multiple evaluators, and an appeal process, the less likely the employees will be to engage in prolonged legal action (Martin, Bartol, & Kehoe, 2000).

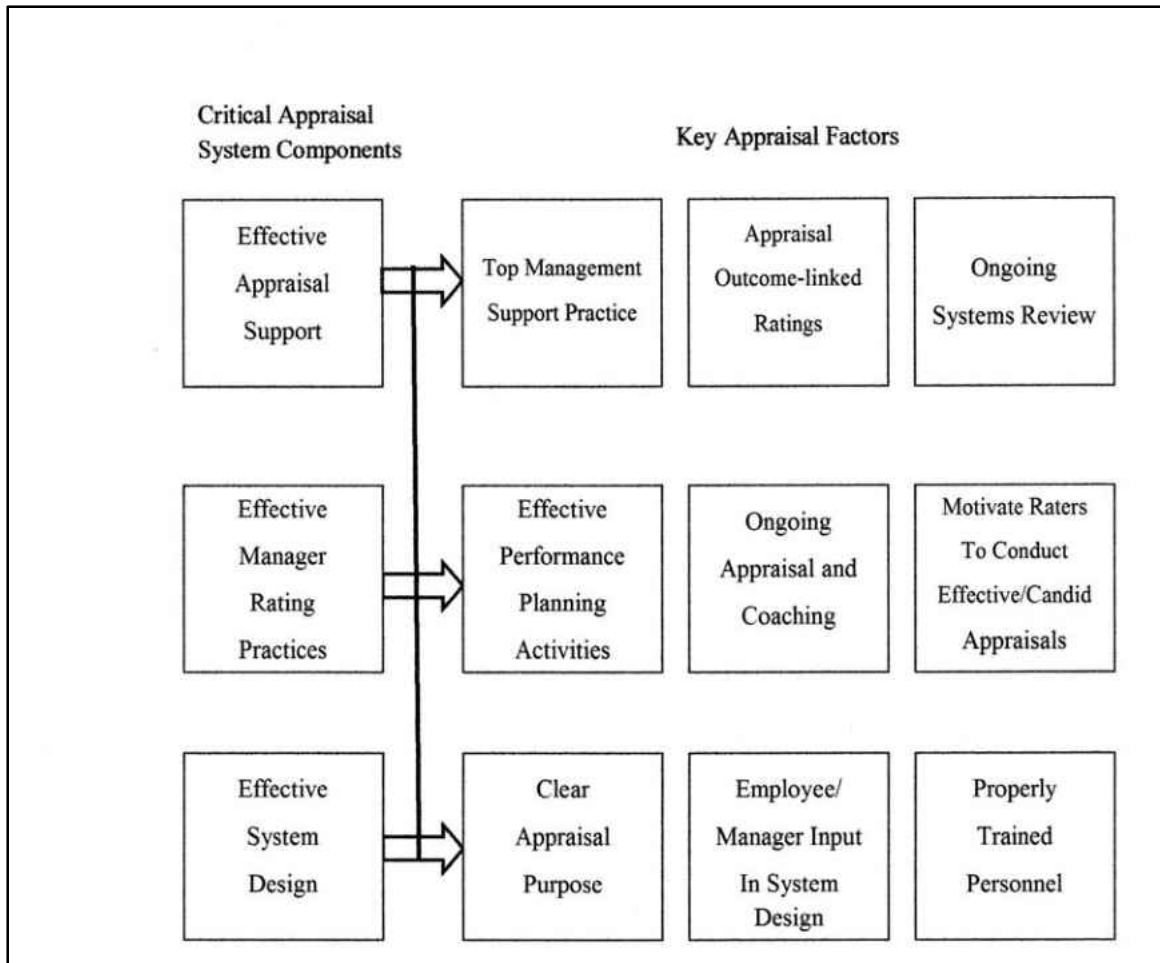
Because of the many legal cases and their interpretation of the law pertaining to performance appraisal systems, the historical view of appraisal as a measurement tool has been strengthened and given increased significance and visibility. This heightened awareness of performance appraisal systems underscores the significance of the measurement qualities of appraisal, but it may also conceal the decision-making and communication function of performance appraisal in organizations (Murphy & Cleveland, 1995).

It is important for colleges and universities that are members of the CCCU to be aware of the various legal issues surrounding the employment of their people and all personnel decisions. A sound performance appraisal system can be used as an effective tool for helping them ensure compliance with the relevant labor laws including Title VII of the Civil Rights Act of 1964 (with an exemption from the religion clause under Section 702), and the Age Discrimination in Employment Act of 1967.

### Guidelines for a Successful Performance Appraisal System

Many researchers have studied the performance appraisal process with the goal of determining the components of a successful performance appraisal system. The results from three of these researchers are presented below. Longenecker and Fink (1999) found that a successful performance appraisal system could be divided into three critical components: systems design, managerial practice, and appraisal system support, with each component containing several factors (see Figure 3). The systems design component requires a clearly defined purpose for conducting performance appraisal. All employees must understand why performance appraisal is being conducted and the specific goals for it. The specific goals will allow the managers to select performance criteria that will support the organization's objectives and increase the motivation of the managers to carry out the appraisals properly.

A second factor of effective systems design is to have the input of managers and employees in the design, development, and choice of criteria used in the appraisal. This promotes acceptance and ownership of the system by the employees which then increases the effectiveness of the system. Without this involvement, the appraisal system risks losing the support and credibility of the users of the system and can short-circuit their sense of ownership of the system. Roberts (2003) notes that employee involvement is a useful tool for increasing job-related autonomy, which is a prerequisite for employee growth. Roberts also points out that employee participation gives employees voice in the appraisal process which gives the employee the opportunity to refute performance ratings, documentation, or verbal feedback with which they disagree.



Note: From “Creating effective performance appraisals,” by C. O. Longenecker and L.S. Fink, 1999, *Industrial Management*, 41(5), 18. Reprinted with permission of C. O. Longenecker.

Figure 3 A Systems Approach to Effective Appraisals

If employees are convinced the appraisal process is fair, they are more likely to acknowledge their performance ratings, including unfavorable ones.

The third factor addresses the importance of user-friendly and easy-to-understand appraisal procedures and forms. The performance criteria, rating procedures, and feedback should be relevant and meaningful for both supervisors and their employees.

The forms should facilitate communication between the supervisors and the employees concerning behaviors, work processes, and opportunities to improve.

The final factor within an effective systems design is an understanding by both supervisors and their employees of the appraisal process and their roles in it. This requires that they have training and education. The above four factors establish a firm systems foundation needed to build the additional components of an effective appraisal system which will now be discussed.

The second critical component of a successful appraisal system defined by Longenecker and Fink (1999) consists of three factors concerning managerial systems practices. The first factor is supervisors must conduct performance planning at the beginning of the appraisal cycle. Performance planning includes writing job descriptions and reviewing them with the employees, setting and agreeing upon goals, and communicating the expectations of behaviors and results for which the employees will be held accountable. The second factor is supervisors must provide ongoing, informal feedback to their employees throughout the course of the appraisal cycle so that there are no surprises when the formal appraisal takes place. Using frequent, informal feedback allows minor issues to be addressed promptly rather than growing into more serious ones over the passage of time. The final factor within the managerial systems practices component is supervisors must be motivated to carry out effective appraisals. This is best accomplished when the supervisors themselves are given effective appraisals by their manager because it sets a good example of how appraisal should be done and it indicates the importance of appraisal in the organization.



The third and final component of an effective performance appraisal system describes organizational support of the appraisal system (Longenecker & Fink, 1999). The first factor is performance ratings must be linked to organizational rewards. Greater rewards should be linked to superior job performance because this increases the motivation of the employees to perform. If this link is absent, employees will tend to perform only to minimum standards. A second factor is appraisal systems must be supported and demonstrated by the top administration. This can be accomplished by administrators giving effective appraisals themselves, and by supervisors and employees communicating about appraisal through memos, organizational newsletters, and testimonials. A final factor is appraisal systems need continuing systems review and changes/improvements to ensure that procedures are being followed correctly and are effective. This could be accomplished by measuring the acceptance and trust of the system by the employees, comparing the relationship between performance and rewards, and reviewing the consistency of implementation of policies and procedures across all departments and locations. Each of these three aforementioned critical components serves to encourage effective appraisal practices by the individual managers who ultimately determine the overall effectiveness of most appraisal systems.

Seldin (1988, pp. 29-33) provides a list of guidelines that are useful in developing a successful evaluation program based on his research and years of practical experience in higher education. Many of these guidelines are similar to those given by Longenecker and Fink (1999) above and will not be listed here, but Seldin does suggest several additional guidelines:

1. The primary purpose of appraisal should be to improve the quality of the employees and their work, with an emphasis on the positive aspects of the performance rather than the negative aspects. The appraisal should focus on maintaining the strengths of the employees and building up their weaknesses.
2. The appraisal program, including its policies and procedures, should be in accordance with civil rights legislation and affirmative action clauses so that it can withstand any challenges from disgruntled employees in a court of law.
3. The appraisal program must relate closely with the traditions, purposes, and culture of the institution. The policies and procedures that work well in one college or university environment may not work well in another one.
4. The appraisal program must provide multiple sources of input for the employee being rated, including peers and those people who report to the employee, rather than just the input of the supervisor.
5. The appraisal system should be based on the concept that objective data is collected and understood with the purpose of making a subjective decision. The best system blends objective data into subjective judgment.

In their research on improving staffing practices in Student Affairs, Winston and Creamer (1997, pp. 263-269) describe several factors that contribute to successful appraisal systems. The first factor concerns the dual purpose of performance appraisal – to provide evaluative feedback to the employee based on job requirements, and to provide developmental feedback to help improve employee performance. Thus, appraisal is related to both institutional needs (evaluative) and individual needs (developmental).

Other factors noted by Winston and Creamer include (a) emphasizing the importance of relating the reward structure of the institution to the productivity of the employees, (b) understanding and accepting the influence of the organization's environment and culture on the performance of the employees, (c) requiring the appraisal process to be both participatory and interactive among all the stakeholders, and (d) having an appraisal system that has clarity, openness, and fairness.

Finally, in a study completed by Smith (1996) at Nene College in the United Kingdom, two recommendations were suggested as components of effective appraisal systems that add to those mentioned above: (a) appraisal systems should have sufficient resources to provide training for the appraisers and to meet the developmental needs of the employees, and (b) there should be required follow-up meetings between the supervisors and the employees after the initial appraisal.

### Challenges of Performance Appraisal

Supervisors and employees generally have ambivalent attitudes, at best, toward performance appraisal (Cederblom & Pernerl, 2002). 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 organizations. The benefits and rewards of performance appraisal appear to be often overstated (Longenecker & Nykodym, 1996). Nickols (2007) suggests that "the typical performance appraisal system devours staggering amounts of time and energy, depresses and demotivates people, destroys trust

and teamwork and, adding insult to injury, it delivers little demonstrable value at great cost” (p. 13). The findings of several studies addressing the challenges of performance appraisal and the consequences of performance appraisal that is not done well are summarized below.

Oberg (1972) mentions 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 organizational 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. Bretz, Milkovich, and Read (1992) found that organizations continue to do things that undermine the effectiveness of the appraisal process. Little time is spent on the appraisal process, raters are not trained and are not held accountable, and the employee’s role in the process is overlooked along with potentially valuable sources of performance information from the employee, peers, and subordinates.

Murphy and Cleveland (1995) found that there are a number of ways that performance appraisal can hurt an organization. First, the system can overemphasize the work of the individual and underemphasize the work of the team. Second, performance appraisal can often send mixed messages about the most and least important aspects of job performance and about the importance of performing well. Third, performance

appraisal is often a source of discontent for the manager and the employee being appraised.

In a research study conducted by Longenecker (2005), several consequences of ineffective performance appraisals were identified. They included stifling performance improvement, demotivating managers, breeding loss of managers' confidence, causing a loss of managerial focus on priorities, causing the breakdown of pay-for-performance systems, reducing effectiveness of management development efforts, creating tension in work relationships with supervisors, and causing ineffective goal setting. Longenecker's conclusion was that when performance appraisal is done well, it is an effective tool for increasing managerial effectiveness. However, when it is done poorly, it is a dysfunctional organizational practice and has many negative results.

In an article by Gray (2002) titled "Performance Appraisals Don't Work," he gives five reasons why performance appraisal fails:

1. Many appraisal programs are implemented without appropriate training for the managers giving the appraisals.
2. Performance appraisal encourages mediocrity by encouraging safe behavior as opposed to risk-taking because managers set unchallenging goals to ensure they meet their goals.
3. Most work in organizations is the result of a group effort rather than individual work so individual performance appraisal is not a meaningful way to measure performance.
4. Supervisor bias can cause inaccuracies in the appraisal feedback.

5. Performance appraisal does not provide protection from legal issues dealing with discrimination and, when not done well, it can actually be a detriment to the organization when faced with legal challenges by its employees.

The person who arguably had the most influence in shaping the view that performance appraisal was not an effective tool to lead and manage organizations was Deming (1986) in his book *Out of the Crisis*. He contends that performance appraisal has significant negative drawbacks for organizations and he urges organizations not to use individual performance appraisal but rather evaluate the performance of a unit or department instead. Deming wrote about common cause for error in organizations and argued that organizations that can eliminate common cause for error will improve. He further stated that most common cause for error is found within organizational systems rather than with the individuals within the organization. Another significant factor that Deming gave for organizational success was maintaining a positive organizational environment and that it was the responsibility of the organization's leaders to drive out fear from within the organization.

Deming (1986) suggested that there is a normal distribution of employee performance within an organization with 95% of all organizational employees working for the success of the organization. The remaining 5% of all employees have serious problems and difficulties. Deming said that organizations use the performance appraisal process unnecessarily to evaluate all the employees rather than using the process for only the 5% that are having specific problems. An additional problem occurs when organizations use performance appraisal to determine pay-for-performance, a process that

he felt contributed to fear and competition within the organization, because individuals are singled out for increased rewards whereas in reality most work is done by groups of people. A disciple of Deming, Peter Scholtes, went so far as to say that performance appraisal, at best, does not work, and in the worst scenario, it can damage morale within the organization (Scholtes, 1993 as cited in Rasch, 2004). Lewis and Smith (1994) paraphrased relevant Deming principles as they would apply to higher education as follows: “Eliminate performance standards (quotas) for faculty, administration, staff and students (e.g. raise test scores by 10%, lower dropout rate by 15%). Eliminate management by numbers and numerical goals. Substitute leadership.” They also said “Remove barriers that rob faculty, administration, staff and students of the right to take pride in and enjoy the satisfaction of personal performance and productivity. This means, among other things, abolishing annual or merit ratings and management by objectives” (p. 101). It is interesting to note that while Deming’s ideas on performance appraisal have received some attention in practitioner appraisal literature, they have not received any attention from researchers (Bretz et al, 1992). The notion of no individual feedback seems unrealistic because even without formal appraisal, informal feedback by team leaders and peers will most likely occur, and it could be less systematic and more subject to biases.

To summarize the challenges facing performance appraisal, at one extreme are those people who have expressed doubts about the validity and reliability of the performance appraisal process. As we have just seen, some have even suggested that the process is so inherently flawed that it may be impossible to perfect it (Derven, 1990). At

the other extreme, there are many strong advocates of performance appraisal and some view it as a very critical aspect of organization life (Lawrie, 1990). Roberts (1998) defined the two extremes concerning performance appraisal as running from “blind advocacy to outright vilification” (p. 1). In between these two extremes there are varying schools of thought and belief. While most people advocate the use of performance appraisal, there are many different opinions on how and when to apply it (Performance Appraisal, n.d.).

#### Development of Performance Appraisal within Higher Education

Holding higher education employees accountable for measurable goals is a relatively recent occurrence (Heck, Johnsrud & Rosser, 2000). This is due to the increase in competition for scarce resources and the decrease in the public’s trust in higher education practices leading to significant demands for colleges and universities to prove their effectiveness and efficiency (Alexander, 2000). Institutions of higher education are being held to higher standards of accountability to their stakeholders including the public, students, and public officials. Accountability, while being most visible at the strategic level, actually begins with the institution’s employees through the evaluation of their performance (Kemper, 2005).

#### Administration of Higher Education

Until the time shortly after the Civil War, the administration of higher education was basically a one-man business (Brubacher & Rudy, 1997). But during the time period



between 1870 and 1930 there was significant growth and expansion in the administrative functions. Initially, the college president served many roles including teacher, disciplinarian, librarian, keeper of the essential accounts of the institution, investor of the institution's money, and secretary of both the teaching staff and governing board. In some of the larger colleges and universities, some delineation of these tasks had already begun to take place. From this period forward, the growth of the administrative task was very significant. The sequence in which secondary offices came about varied from school to school. Among the next administrative offices to develop in the late 1880s and 1890s were the librarian, registrar, and dean. The office of the registrar position developed at the same time that the elective curriculum was increasing because academic bookkeeping became more involved and complex. Business officers, directors of public relations, directors of admissions, and other positions developed in the following century. The office of the vice-president had its greatest growth in the twentieth century, which is also when the position of chancellor was established. These positions were created to help relieve the president from administrative duties and allow him more time to develop educational policy.

In the evolution of these administrative positions in the 1900s, most of them originally included some teaching responsibilities. For example, the librarian or registrar duties might have been a part-time role of a faculty member, or the librarian might also have been the registrar. There were many variations to suit the local institutional needs. But in time, as the administrative roles increased, there was less time devoted to teaching until there was none for most administrative positions. The growth of nonacademic

personnel grew so rapidly that by 1950, for example, the University of Minnesota had 4,000 nonacademic workers on their staff including clerks, statisticians, dietitians, and truck drivers (Brubacher & Rudy, 1997). As the number and importance of administrative staff increased, so did the need for appraisal and accountability.

Seldin (1988) describes higher education institutions during the decades in the mid-1900s as “serene institutions with few of the pressures of the bitterly competitive outside world. Presidents, provosts, deans, and department chairs were scholar-educators who saw themselves as first among equals. Administrative life on campus was marked by collegiality, expanding budgets, and a leisurely work pace” (p. 1). These institutions of higher education had been viewed as relaxed, low-pressure, good places to work (Austin & Gamson, 1983). Many educational administrators stayed in their roles for ten or more years due to the satisfying and relaxed life they enjoyed.

But the circumstances in the more recent past are very different. Directing colleges and universities can now mean dealing with a series of insistent demands. Collegiality on campuses has been supplanted by a “we” versus “they” attitude (Seldin, 1988). Budgets are stretched and the speed of the work place is faster. Lawsuits have become more numerous over a range of issues and governments have imposed limiting rules and policies. The call for accountability has increased significantly and it has forced administrators to scrutinize the cost-effectiveness of each program and each division as well as the effectiveness and accomplishments of each individual. Administrative positions have become more specialized and require a more business-like

approach to administration. The job of the university manager has become more multifaceted and more stressful (Seldin).

The emphasis on accountability has become an important mechanism for policymakers' efforts to exercise control over higher education productivity. Outside requests for accountability have led to a greater importance on the evaluation of outputs and formal assessment (Austin & Gamson, 1983). There were misgivings concerning the effectiveness of colleges and universities raised in the early 1900s (Hall, 1904). The state of New York established criteria for what a college must be to incorporate, but it did not answer the question whether any college actually satisfied those criteria. The first person to seriously raise this issue was Henry C. King, president of Oberlin College, in 1908-09 (Brubacher & Rudy, 1997). King requested a group of faculty to draw up a list of strategic questions to consider the problem and to help focus a direct inquiry into a college's effectiveness. This report from Oberlin is considered to be the beginning of the survey movement in higher education. In 1910 the United States Bureau of Education established a new position to assist colleges and universities with their survey needs. In 1912, the state of Virginia published a statewide survey of higher education. This coincided with the period when industry used scientific analysis to measure its own efficiencies under the guidance of Frederick W. Taylor. The motivation for greater effectiveness also came from large educational foundations that were paying close attention to the financial management of higher educational institutions. For example, the Carnegie Foundation for the Advancement of Teaching was evaluating which institutions met their criteria to profit from its pension plan (Brubacher & Rudy). Many

institutions did not qualify due to such issues as lack of cost-accounting systems and not clearly distinguishing between endowment funds and funds for current expenses.

Discontent with the performance of universities was heightened in the 1960s and 1970s despite efforts by the universities to improve (Bergquist & Pawlak, 2008). Factors influencing this discontentment included student disruptions on several campuses which led to public distrust, and taxes that were increasing sharply while the income of businesses and families was decreasing (Brubacher & Rudy, 1997). New demands for accountability from the skeptical public joined with new planning schemes that were necessary when these institutions faced declining resources. Both of these issues promoted the appearance of robust managerial leadership and deterred the laissez-faire collegial leadership that was suitable and prevailing until the 1970s (Bergquist & Pawlak). Universities were being asked to justify what they were doing by attesting to the competence and effectiveness of their efforts. At the same time there was an ongoing movement in business and government to use quantitative analysis to help the management of fiscal matters. In the field of educational measurement there was an evolving movement that placed significance on accuracy, dependability, and soundness in the management of data. Taxpayers and the government were demanding that universities be held accountable for their expenditures of public money (McConnell, 1971). Alexander (2000) claimed, “A new economic motivation is driving states to redefine relationships by pressuring institutions to become more accountable, more efficient, and more productive in the use of publicly generated revenues (p. 411).” Additionally, “an increasing number of educational leaders are now exhibiting an

awareness that the status quo is no longer a viable option for higher education.” Kerr, Gade, and Kawaoka (1994) noted that higher education was moving toward a market economy. Accountability was being sought in areas including cost regulation, learning outcomes, codification of the internal decision-making process, and equal access for women and minority groups. Two additional items placed high on the accountability agenda were managerial efficiency and centralizing management which could be accomplished in part through use of performance appraisal because these items could be implemented and evaluated using the appraisal process (Henry, 1972).

Colleges and universities have provided a variety of organizational data including retention and graduation rates, faculty workload studies, and job and career placement records (Heck et al., 2000). Assessing the performance of administrators may well provide needed and useful information about the performance of the university, but it may represent high stakes assessment of individuals. This means that measures of employee effectiveness could be tied to their promotion, salary increases, contract renewal, or retention. Academic administrators today are expected to deal with a variety of specialized issues including budgetary and fiscal matters, to be able to interact with various government agencies, courts, and trustees, and have skills in public relations. The administrator is also expected to have skills in management, human relations, budget analysis, and strategic planning. Austin and Gamson (1983) refer to the new breed of academic administrator as a politician, a zoo keeper, an entrepreneur, and a machine operator because of the wide variety of skills and experience he or she needs to be successful (p. 55).

## Changing Expectations and Roles of Academic Administrators

College administrators have embraced the systems and procedures of business and public relations professionals. They manage by objectives, form marketing groups, and use terminology from the business world such as cost-benefit analysis, market share, and investment opportunity. They have the skills necessary to deal successfully with newspaper editors, elected officials, budget administrators, alumni, and faculty leaders (Seldin, 1988).

There has been recognition that colleges and universities have become something more than a group of educators and that these institutions can benefit from the same management standards that are used by for-profit organizations. Deans, for example, “today oversee professional organizations (colleges) that are in some ways similar to large professional partnerships or organizations in the private sector, such as those found in law and accounting firms” (Wolverton, Gmelch, Montez, & Nies, 2001, p. 106). Keller (1983) has noted that “more and more, academic leaders are beginning to sense that unless their campuses have some solid, rational management they may not make it through the next decade, or may not pass through the period without wounds and distentions” (p. 57).

Seldin (1998) noted that presidents, provosts, deans, and department chairs have brought a different management style to higher education. They are adapting proven concepts from business management, particularly from the non-profit sector, and are using the findings of organizational behavior, psychology, and administrative research.

Seldin found in his research that there were seven components of this new style of management:

1. Administrators have become more active by helping select priorities, formulating academic strategies, and providing active leadership. Their involvement in managing the institution is much greater now than in the past.
2. Financial considerations have become more important. Finances and academics have come together so that departments and institutions evaluate financial consequences when they address new academic curriculums. Also, administrators confer with faculty, deans, and provosts concerning the educational implications of financial decisions being considered. Most campus operations are non-academic and include such areas as housing, maintenance, accounting, bookstores and security. These operations often fit well with current business practices, and to save funds for the academic side, these nonacademic areas are getting heightened attention.
3. Technology has become a necessity for management. Academic administrators must have excellent computer understanding and know how to use existing technology.
4. Campus governance has been reshaped to become more participatory and more consultative in decision-making. Institutions bring in faculty, key administrators, and students to advise on decisions that impact them.
5. Administrators are using entrepreneurial skills to raise money, organize support for new programs, and give a sense of direction to their institutions.

They use their power to allocate resources among various institutional programs.

6. Closer attention is being paid to the external environment, the market and strategic planning. There is more awareness of the political, economic, and cultural environment around higher education institutions and to the business of providing educational services. The academic administrator has changed the higher educational planning process into a public affair based on clear strategies and coherent goals supported by hard data.
7. The evaluation and development of administrators has become more important. The academic administrator faces complex challenges, and to address them necessitates a significant amount of expertise in finance, governance, technology, communications, computers, and strategic planning (pp. 4-9).

To ensure adequate competency in these areas, colleges and universities are giving closer attention to the administrators' abilities, competencies, and effectiveness. These institutions realize that evaluating and developing administrative performance can bring about positive change.

### Faculty Performance Appraisal in Higher Education

It is helpful to briefly consider some of the issues related to faculty appraisal because faculty appraisal has had an influence on the acceptance and use of performance appraisal of staff at colleges and universities. The appraisal of faculty has a lengthy



history, unlike the appraisal of staff which is relatively brief, but there has always been a degree of controversy that has surrounded it (Braskamp & Ory, 1994). Faculty and administrators have not always seen appraisal as a good use of time, although it is a needed one. Its usefulness continues to be one of the most debatable and sensitive issues on campuses. Also, faculty give varying credibility to the appraisal of the different facets of their work. Research productivity is considered the easiest to measure equitably, while measuring teaching effectiveness and the quality of professional service is often not judged at all.

However, while faculty are more willing to support the assessment of their research compared to the assessment of their teaching or service activities, they do have some concerns with the current evaluation methods. Boyer (1990, p. 34) argues that “the full range of faculty talent must be more creatively assessed. It is unacceptable, we believe, to go on using research and publication as the primary criterion for tenure and promotion when other educational obligations are required.” He goes on to note that many faculty are displeased with the current appraisal procedures because they “restrict faculty, distort institutional priorities, and neglect the needs of the students” (p. 35).

Part of the controversy surrounding the appraisal of faculty is the lack of a clear definition of exactly what the work of the faculty consists of and what is being evaluated. Clarity is needed in defining the work of the faculty before it can be measured. The following section addresses the issues that deal with identifying the work of the faculty, which then helps define what will be assessed.

## The Work of Faculty

A three-part classification of the work of faculty that is very common includes research, teaching, and service (Clement & Stevens, 1989; Dilts, Haber, & Bialik, 1994). Braskamp and Ory (1994) use an expanded four-part categorization which includes teaching, research and creative activity, practice and professional service, and citizenship. A brief description of each of these four categories follows.

Teaching includes classroom instruction, conducting laboratories, coaching interns and graduate students, and advising students in areas including which classes to take and career opportunities in their field of study. There is importance attached to creating a learning environment that enhances student learning opportunities and motivates student learning. The academic environment should emphasize cooperation and working together rather than competition, and high standards of excellence rather than ranking students against each other.

Research and creative activity include the various forms of discovering and integrating knowledge, critical analyses, and visual art performances. In this category, the creative arts are given comparable status to research activity because the amount of ingenuity and discipline required in the creative arts is similar to what engineers or scientists incorporate in their work. In the category of research and creative activity, the scholarship of discovery is critical because without new discoveries and insights, there would be little need for teaching and providing service to the community. Society has given colleges and universities the responsibility to search for and discover new knowledge for its own sake. The scholarship of integration, as defined by Boyer (1990,

p. 18), is “making connections across the disciplines, placing the specialties in larger context, illuminating data in a revealing way, often educating nonspecialists, too.” The scholarship of discovery and the scholarship of integration cannot be completely separated because the established disciplines have common concepts and knowledge bases.

The third of the four-part categorization of the work of faculty is practice and professional service. This focuses on solving the problems of society using the knowledge, expertise and professional judgment of the faculty, and it can include such things as public service, service to the university, outreach, application of knowledge, and practice. The emphasis is on the significant value of knowledge and the connection between colleges and universities and society. Braskamp and Ory (1994, p. 48) describe one purpose of a college or university “is to encourage faculty to become more involved in knowledge-linking.”

The fourth part included in the work of faculty is citizenship which Braskamp and Ory (1994) put in a separate category to highlight its importance in faculty life and work. It is reflected in many types of faculty work and can be divided into three forms:

1. Institutional contributions that facilitate and promote the growth and advancement of the institution. Examples of activities include managing a campus unit, serving as a member of an institutional committee, mentoring other faculty or staff, and participating in the governance of the institution.
2. Disciplinary and professional contributions include participation in professional, scholarly, and disciplinary associations and organizations. Such

activities include holding a leadership position in organizations, serving on accreditation bodies and national examining boards, organizing meetings and workshops for professional organizations, and serving on governing boards and task forces.

3. Private and community contributions that occur outside of one's professional and institutional life. This could include participation in civic, political, or religious organizations, holding public office, and providing free health care services to citizens.

The determination of which of these criteria will be used by the institution to measure the performance of faculty should be dependent upon the mission and goals of the institution and its various subunits including its colleges, departments, and units (Dilts, Haber, & Bialik, 1994). When an institution is able to clearly convey to its faculty which of these aspects of their work it considers important, and thus will be evaluated by the institution, it increases the credibility and usefulness of appraisal as an effective management and motivational tool.

When there is not clear communication and correlation of institutional goals with individual faculty goals, this causes faculty dissatisfaction and frustration with the appraisal process which then diminishes its credibility and usefulness. If, for example, the mission statement of a college states that it is a teaching institution, but then there are minimal efforts made to evaluate teaching, the credibility of the mission statement is lost. If the school in reality primarily rewards only research, then only research will be produced (Dilts et al., 1994).

## Goals of Faculty Appraisal

To conclude this section on faculty performance appraisal, five goals of faculty appraisal (Braskamp & Ory, 1994) will be reviewed. These goals will be compared to goals of performance appraisal as defined elsewhere in performance appraisal literature (for businesses, non-profits, and administrative staff at colleges and universities), and significant similarities or differences will be noted:

1. Address both individual and institutional goals

An effective institution simultaneously encourages the growth of its individual faculty and fulfills its own institutional goals. For faculty, professional growth necessitates learning and developing from one's own experiences which suggests the use of evaluation and feedback. This also includes having autonomy, freedom, and an organizational culture where experimentation is allowed along with some dead ends and failure. Likewise, institutions exist for a purpose and they must also be held responsible and accountable to their stakeholders for achieving their collective goals. A paradox exists between giving faculty their independence and monitoring their work, and while this paradox may never be resolved, it must be acknowledged and confronted. Job satisfaction and commitment come when employees know what is important to the organization and what its priorities are. Appraisal system goals should be clear and simple, and should be linked to the evaluation of performance, the establishing of objectives, and the identification of faculty development

needs which take into account the institutions' goals (Smith, 1996). Appraisal is one means of communicating these goals to the faculty.

2. Reflect the complexity of faculty work

Because faculty work is complex, the appraisal of the work should match the complexity of the work. The number of publications or a single score on a rating form do not sufficiently measure the contributions of faculty. A broad collection of appraisal methods is needed to best measure the work of faculty.

3. Foster faculty members' uniqueness and promote career development

Assessment of faculty work should reflect the individuality of the faculty, who are diverse in their goals, talents, and achievements, but not necessarily their individualism. The practice of appraisal should be carried out for the documentation for promotion, tenure, and salary increases, as well as for a means of improvement for the faculty member. Clement and Stevens (1989) suggest that the appraisal process should allow faculty members to take advantage of their individual strengths in meeting the goals of their respective departments.

4. Clearly communicate institutional goals and expectations

Feedback from appraisal can be a powerful means of socialization in which faculty can learn of the goals and expectations of the institution. Feedback during the appraisal process can be an effective way to promote and reward loyalty to an institution and to foster a sense of belonging, which some faculty particularly value.

## 5. Promote collegiality

Braskamp and Ory (1994) suggest that while faculty have long been involved in assessing the research of their colleagues, they have done little in the area of assessing teaching effectiveness and professional service. This is due to the public nature of research and the value that is placed on the different categories of work. While faculty autonomy is part of the culture, faculty can reclaim their accountability to their colleagues and thus reclaim the collegial tradition. Overall, if a college or university desires to support the career development of its faculty while at the same time meeting the broad goals of the institution, it must evaluate the work of its faculty from both an individual and an institutional perspective.

It is interesting to compare the goals of performance appraisal, reviewed earlier in this study that are applicable for most types of organizations, with those goals listed above that are specific for faculty appraisal. There is much similarity of goals including providing feedback to employees, encouraging performance improvement, determining developmental goals for employees, and providing information for personnel decisions such as pay increases and promotions. An interesting difference is that for faculty appraisal, there is significantly more emphasis placed on the input of the faculty, their career aspirations, and their individual developmental needs than was mentioned for most types of organizations. This can probably be attributed to the historically collegial nature of colleges and universities that has been characterized by faculty autonomy and independence.

## Organizational Governance and Performance Appraisal in Higher Education

### Distinctive Characteristics

Organizations differ in many ways such as having different types of clients, using different technologies, having employees with different skill-sets, developing different structures and coordinating styles, and relating differently to their external environments (Baldrige, Curtis, Ecker, & Riley, 1977). While there are common elements in the various types of organizations including colleges and universities, hospitals, businesses, government firms, and prisons, no two organizations are the same. When considering the relevance of performance appraisal to colleges and universities, it is important to understand these institutions' distinct characteristics and how they may influence the acceptance and use of performance appraisal.

Baldrige et al. (1977) suggest five distinctive characteristics of colleges and universities. The first is goal ambiguity. Most organizations have established goals, and they set strategies and processes to help them accomplish their goals. For example, businesses must make a profit, government firms follow the policies and guidelines set by the laws that created them, hospitals aim to heal sick people, and prisons try to rehabilitate. In contrast, colleges and universities have less clear goals and the list of goals might include teaching, research, community service, providing solutions to social problems, or supporting the arts. Cohen and March (1974) suggest that efforts to establish goals by institutions of higher education “produce goals that are either meaningless or dubious” (p. 195). Weber (2005) claimed that “while every one of the



more than 3,000 colleges and universities in the United States has a mission statement that sets out its goals and objectives, those are invariably, and appropriately, vague and almost impossible to measure in objective fashion” (p. 41). Academic goals can be not only unclear but also highly contested (Baldrige et al.). As long as the goals are left unclear and ambiguous, they are easily agreed upon, but when they are made more concrete and actually implemented, conflict begins.

A second distinctive characteristic is that colleges and universities have clients who demand a voice in the decision-making process, similar to schools, hospitals, and welfare agencies. This can be a very significant and frequent factor in higher education where the clients are very capable of speaking for themselves.

A third distinctive characteristic is having problematic technology due to serving clients with dissimilar, complex needs. Compared to manufacturing organizations whose work can more easily be segmented and made routine, in higher education it is more difficult to construct a simple technology that deals primarily with people and that relies heavily on professional expertise. If academic institutions are not always clear on what they are trying to accomplish, they also may not know how to do it well.

Baldrige et al. (1977) describe a fourth distinctive characteristic of colleges and universities as professionalism. Instead of an organization dividing a complicated task into smaller sets of routine procedures or tasks performed by unskilled and skilled employees, professional work requires that a broad range of tasks be completed by a single employee. These professionals typically demand autonomy in their work, wanting to be free from close supervision, and they tend to have divided loyalties between their

own organization and their peers at the national level. There can also be tensions between professional staff and organization managers concerning ownership of responsibilities and decision-making authority. Also, professionals can demand peer evaluation of their work because they feel that only their colleagues are qualified to competently judge their performance.

The final distinctive characteristic that can separate colleges and universities from other organizations is environmental vulnerability (Baldrige et al., 1977). Although most organizations interact with their environments to some degree, some have more freedom than others in their actions. If the range of freedom is from high (in a typical business firm in a free market economy), to low (in public school districts that are constantly being watched by the communities they serve), colleges and universities are somewhere in the middle of the range. In recent years, however, colleges and universities have been subject to much more external review by the public, state legislatures, and the Federal government resulting in movement to less freedom. When there is increased external pressure from outside interest groups, the operating autonomy of the academic institutions is significantly decreased. Therefore, as their vulnerability grows, their governance structure changes extensively.

When summarizing the above five distinctive characteristics of colleges and universities and relating them to a specific organizational type, Baldrige et al. (1977) suggest that colleges and universities do not fit the standard category of “bureaucracy”. Although bureaucracy does accurately describe certain parts of colleges and universities including the business operations, plant management, capital spending, and various

auxiliary services, it does not adequately describe the heart of the institution which includes academic policy making, teaching, and research. Cohen and March (1974) suggest using the term “organized anarchy” to describe academic institutions which differs significantly from a bureaucracy or a collegium. The organized anarchy has generous resources that allow employees to go in various directions without coordination from a central authority. Leaders tend to be weak and there are many decisions made by individuals. Leaders tend to act more as catalysts and facilitators than decision-makers, and negotiators rather than commanders. The image of organized anarchy helps capture the distinctive characteristics of colleges and institutions including unclear goals, problematic technology, and environmental vulnerability.

These distinctive characteristics of colleges and universities can have a significant influence on the use of performance appraisal. Performance appraisal depends greatly on the use of clearly stated goals, both for the individual and for the institution. If the goals are ambiguous, it is very difficult to define meaningful measurements for accomplishing them. If the goals are clear but highly contested, then it is more difficult to reach consensus on what goals will be used in the appraisal. The characteristics of professionalism and voice in the decision-making process suggest that the process of developing goals must be a joint effort in which both the person being appraised and the appraiser have input in the development of the goals. This will encourage ownership of the process by the person being appraised. The characteristic of environmental vulnerability, where colleges and universities are experiencing increasing accountability demands from outside interest groups, suggests that organizational freedom is decreasing

and thus there will be a growing expectation of accountability. Performance appraisal is one tool used to help meet that demand.

### Organizational Governance

The five distinctive characteristics mentioned above influence the type of organizational structure used by academic institutions. Three of the most common academic governance models are the bureaucracy, the collegiums, and the political system (Baldrige et al., 1977). The question can be asked concerning the various types of organizational governance and the appropriateness of performance appraisal to each type. Can performance appraisal, which has historically been an effective management tool particularly within the bureaucratic organization, also be an effective tool within the collegial system or the political system? It will be useful to describe the primary characteristics of these three models and then address the question of how effective performance appraisal can be in these environments.

Baldrige et al. (1977, p. 133) describe some of the more prominent characteristics of a bureaucracy that are involved in university administration:

1. The university is under state charter like most bureaucracies.
2. The university has a formal hierarchy with bylaws that define the relationships between offices.
3. There are recognized channels of communication that must be considered.
4. Bureaucratic authority relationships exist.
5. Formal policies and procedures govern much of the institution's work.

6. Bureaucratic procedures are in place concerning the processing of people including record keeping, registration, graduation requirements and other routine daily activities.
7. Administrative managers use bureaucratic decision-making procedures for making routine decisions.

Some of the weaknesses of the bureaucratic model as they apply to academic institutions include: (a) not describing well the informal types of power and influence which can appeal to emotion and sentiment, (b) not describing well the dynamic processes that characterize the institution in action, (c) not explaining how organizational structure can change over time, and (d) not addressing well the process by which policy is initially established.

The collegium model of governance can be summarized using three themes: “decision-making by consensus, the professional authority of faculty members, and the call for more humane education” (Baldrige et al., 1977, p. 135). Decision-making should not be like the hierarchical process of a bureaucracy but rather using full participation of the academic community and, in particular, the faculty. The faculty administers its own affairs and the bureaucratic administrators have little influence. The idea of professionalism emphasizes the professional’s ability to make decisions and the need for freedom from institutional rules. The idea of more humane education refers to changing what is perceived currently as an impersonal, bureaucratized educational system to an “academic community” that would offer personal attention, humane education, and relevant confrontation with life (Baldrige et al.).

The political system model of university governance focuses on organizations as miniature political systems and on policy-forming processes, because it is the major policies that commit an institution to specific goals and that define the strategies for accomplishing those goals (Baldrige et al., 1977). Policy decisions are critical because they commit an institution to key paths of action.

When considering performance appraisal as a management tool in each of the governance structures mentioned above, there is potential cause for conflict particularly in the collegial model. Performance appraisal is effective in an environment where both organizational and position goals are clearly stated and there is a hierarchal organizational structure with clearly defined positions and responsibilities. This is most closely associated with the bureaucratic structure. In the collegial structure, goals are more ambiguous and results are more difficult to measure, thus making accountability more difficult. The professional staff requires autonomy in their work and freedom from close supervision, again making the concept of performance appraisal a more difficult fit. In addition, there is strong value placed on consensus decision-making and evaluation, and less acceptance of decisions made by individuals through their positions of authority and power. Thus conflict is likely to erupt in the collegial culture when performance appraisal and accountability are introduced.

Downey (1995), in his article “The University as Trinity: Balancing Corporation, Collegium, and Community”, describes the university as consisting of three components – a corporation, a collegium, and a community – which has similarity to the three governance models mentioned above of bureaucracy, collegium and political system. He

argues that each of the three components has elements which are critical to the idea of the university, but that each component also has elements that are not necessarily in harmony with each other. The value of the corporation component is that it provides an orderly environment where the business of the academic institution can be carried out. The corporation receives funding through various entities including the state, students, and donors without which the scholarly pursuits of the institution could not be carried out. If the institution is not well structured, financed, and managed, this will have a negative impact on its academic pursuits.

The second part of the trinity is the collegium which Downey (1995) suggests is essential to, but not the essence of, the academy. While the corporation works within a hierarchical authority, the collegium uses the principle of hieratic, or priestly, authority in which the faculty are given the highest power in matters pertaining to academic policy and principle. Within the collegium, democracy is practiced where faculty members may speak their minds in freedom such as raising objections and challenging any decisions made. Academic freedom resides in the collegium where individual faculty members are given the greatest reasonable amount of autonomy in the performance of their academic duties. The third component described by Downey is the community. Of all social institutions, he suggests that the university has the most attributes of a community including physical infrastructure of land, buildings, roads, sewers, and cultural and athletic facilities. It also includes personal, professional, social, recreational, and educational services, as well as a broad diversity of people with varying interests,

competence, and ethnicities. Downey notes that neither the corporation nor the collegiums will thrive without such a community.

There has been a strong push in recent years towards the corporate emphasis and away from the collegium due to the demand for increased accountability from the constituents of academic institutions. If the trend continues in this direction, it would appear that the need for performance appraisal will only increase as one method for achieving stronger accountability.

Historically, a basic principle of higher education institutions has been that higher education is not a business, and thus concepts associated with a business-like corporation, such as hierarchical management of people, property, and profit are not appropriate for their organizations (Greenberg, 2004). Thus any mention on campus by the administration of a program losing money or that the faculty could be better managed in their responsibilities brings forth disparaging comments that the administration has a corporate mentality and is treating the institution as a business. This again raises the question concerning the appropriateness of using performance appraisal for the faculty, and certainly provides a forum for heated discussion and argument between faculty and administrators. Greenberg suggests there are clear reasons why higher education should be considered big business: (a) the ratings game and annual rankings between higher education institutions, (b) the close relationships between research universities and large businesses, (c) the semi-professional athletic programs, (d) multi-million dollar facilities, (e) faculty labor unions and strikes, (f) large salaries of college and university top administrators, and (g) the competition among schools to recruit students. He concludes



by suggesting that if higher education institutions are going to lead the way forward, rather than being directed by outside constituents, they must think about their people, property, and productivity in business terms.

Lohmann (2004) describes the significant changes that are impacting the university environment including the emerging knowledge society, change in demographics of higher education, technology and communication transformation, and the rise of for-profit and distance learning institutions. She suggests that these represent either opportunities or threats to the university depending on how it responds to them, but that to survive, the university must reinvent itself. At one extreme, the university could return to its faculty roots, which Lohmann says is not really an option regardless of what the faculty say. The other extreme is to come under the rule of the outside world and be run completely as a business. Lohmann proposes a solution midway between these two extremes where “the university is neither the servant of the faculty nor the handmaid of the outside world. Instead, the university must remain precariously poised between these two powerful forces” (p. 26). It must offer free spaces where the research can flourish while also be willing to change with the times and respond to social and technological change. She concludes that if the university takes on the form of either of the extremes, it becomes dysfunctional or dead.

It is clear that the concept of performance appraisal fits more easily into a bureaucratic type of governance model than it does into the collegial model due to the reasons mentioned above. As colleges and universities continue to experience increased demand for accountability, and perhaps corresponding changes in their governance

structures, it will be important to determine how and where accountability and appraisal best fit within this evolving structure.

### Organizational Culture and Performance Appraisal

Understanding the organizational culture of colleges and universities can help clarify how campuses are being managed because culture seems to have a causal impact on managerial style and decision practices (Masland, 2000). The blend and predominance of various types of cultures at a particular institution can impact management practices which can then affect whether or not performance appraisal is used, the purposes for which it is used, and its success at the institution.

The literature is full of many varying definitions of organizational culture. Kuh and Whitt (2000) suggest that a precise definition of culture is elusive because it is a multifaceted collection of context-bound changing properties. They state that the “core of culture is comprised of assumptions and beliefs shared – to some degree – by members of the institution that guide decision making and shape major events and activities” (p. 169). Dill (2000) defines organizational culture as “the shared beliefs, ideologies, or dogma of a group which impel individuals to action and give their actions meaning” (p. 264).

Bergquist and Pawlak (2008) suggest that there are six discrete cultures in American colleges and universities, and each have their own story, viewpoints, and values. The six cultures are the collegial culture, the managerial culture, the developmental culture, the advocacy (negotiating) culture, the virtual culture, and the

tangible culture. It is important to understand the basis of each of the six cultures so that their potential influence on performance appraisal can be better understood.

### Collegial Culture

The collegial culture is characterized by the fact that faculty members have worked primarily in a collegial culture since American higher education was established in the colonial college (Bergquist & Pawlak, 2008). This culture in American colleges and universities is instilled with both the British and German forms of higher education. Interdependence and collaboration are more common in the British form, in contrast to faculty autonomy which is more widespread among institutions similar to German universities.

The collegial culture promotes the variety of perspective and the relative independence of work (Bergquist & Pawlak, 2008). It is a “loose coupled” culture (Birnbaum, 1988) whose constituents are not capable of defining the standards by which their colleagues are to be judged. Relationships tend to be relaxed, non-hierarchical, and for the duration, and changes are made in this culture through political negotiation. People who are successful in this culture usually participate in the faculty governance processes of their institutions or they hold a position of high prestige based on their scholarly work or extended time on the faculty. Leadership appears from committee and other group activities, or from independent academic activities.

## Managerial Culture

In the managerial culture, educational goals can be clearly stated and the standards for judging their success can be identified and utilized (Bergquist & Pawlak, 2008). Faculty members are successful as leaders if they are competent in managing fiscal and personnel affairs, often serving in the role of chair of the department. Faculty in this culture often perceive that the best way to make an impact in their institutions is by moving into an administrative position. These faculty members often do not participate in faculty governance practices and they usually consider these processes to be unproductive and a waste of time. As they prepare for roles as administrators in the future, faculty members oriented towards the managerial culture reason from the viewpoint of cost control, achievability, and explicit outcomes.

Bergquist and Pawlak (2008) suggest that faculty members in the managerial culture frequently use teaching materials that have been written by other people. The design of instructional materials is often distinct from the act of teaching. These two skill sets are commonly seen by the managerial faculty member as separate. In their wide-ranging instructional role, managerial faculty members are disposed to commit significant time and consideration to identifying educational goals or outcomes, ordering self-sufficient instructional units, and choosing and implementing instructional systems that use resources unrelated to them. The faculty member's teaching responsibility may even be considered as non-essential, and the faculty member may act rather as an instructional systems manager or facilitator. The school's mission is defined as the

instillation of specific knowledge, skills, and attitudes in its students so that they might become flourishing and dependable citizens.

Whereas the collegial culture is a mixture of the British and German university models, the managerial culture originated in several postsecondary institutions in the United States including the Catholic college and university and the community college (Bergquist & Pawlak, 2008). Both the Catholic college and the community college grew out of the elementary and secondary school systems of their communities where there were clear lines of authority as well as administrators who had control over the planning and managerial functions of the institution. These colleges offered courses in which clear curricular guidelines could be defined, and where the desired competencies of the students could be measured. As a result, they had a focus on vocational preparation.

#### Developmental Culture

There are four key aspects of the developmental culture (Bergquist & Pawlak, 2008). First, it defines itself primarily in the formation of programs and events that further the personal and professional development of all members of the higher education institution. Secondly, it values personal openness and service to other people, methodical institutional research, and curricular development. Thirdly, it assumes that all men and women have the innate desire to achieve their individual personal maturation, while also helping others in the institution become more mature. Finally, it defines the institution's mission as helping develop the cognitive, affective and behavioral maturation among all the students, faculty, administrators, and staff.

Bergquist and Pawlak (2008) suggest that leaders in the developmental culture reside outside any formal role or lines of authority in the higher education institution. However, they do not attempt to change the institution through combined force, but rather choose to promote shared awareness of the problems facing the institution and shared recognition of alternative solutions to these problems. In this way, the supposition of organizational rationality becomes a part of the developmentalist's strategy for successful institutional leadership. The developmentalists focus attention away from the personal issues and power struggles that often distract faculty and administrators in the other cultures.

#### Advocacy Culture

The advocacy culture came about due to the failure of the managerial culture to satisfy the personal and financial needs of faculty and staff (Bergquist & Pawlak, 2008). When administrators had control of the development of institutional policy, the faculty had to reestablish their influence and power through collective action. Collective bargaining of faculty has focused not only on compensation and personnel issues, but also on curricular and teaching-learning issues.

The advocacy culture primarily values the establishment of equitable and egalitarian guidelines and procedures for the allocation of resources and benefits in the higher education institution. It places value on confrontation and negotiation among management and faculty or staff who have vested interests that are by nature in opposition. It has assumptions about the crucial function of power and the recurrent need

for outside intervention in an academic institution, and it defines the institution's mission as either the objectionable dissemination of current social attitudes and organizational makeup, or the creation of new and more liberating social attitudes and organizational makeup.

### Virtual Culture

The virtual culture differs from the previous four cultures in that it originated primarily outside of and exists independently of the academy (Bergquist & Pawlak, 2008). The virtual culture in higher education connects directly with the virtual culture globally. While a modern organization has a physical presence and an organizational chart that describes its purpose and the roles of those people who work within it, the boundaries and structures in a virtual organization shift with the variables that influence it. The modern organization is practically a closed system while the virtual one is an open system.

The virtual culture values the worldwide viewpoint of open, common educational systems and it defines its mission as linking its educational resources to worldwide and technological resources which in turn broadens the worldwide learning system. It is characterized by such things as computer technology, the Internet, world-wide web, on-line education, a knowledge economy (rather than an industrial economy), loose organizational boundaries, and virtual epistemology (e.g. blogs and wikis). New collaborations with other institutions allow colleges and universities to provide their skills and expertise in degree-granting and postsecondary education with the facilities,

marketing and financial expertise, and technical and scientific equipment of other institutions to produce service-learning initiatives and partnerships. These programs bring together community agencies with colleges and universities to provide valuable services to the surrounding community as well as give students excellent learning opportunities.

### Tangible Culture

The tangible culture is based on reflection and the search for a deeply rooted identity, a supportive and appreciative community, and a grounding in religious or spiritual values rather than secular ones (Bergquist & Pawlak, 2008). It prioritizes the certainty of a value-based, face-to-face education in its own real estate, and it assumes the capability of old approaches and technologies to infuse the institution's standards. It defines the mission of the organization as the valuing and incorporation of learning from a local perspective. Education is not just about conveying factual information, which the Internet can do well, but about learning to argue and reason which is best done among a group of scholars (The Brains Business, 2005).

The origins of the tangible culture trace back to the early European universities such as Oxford and Cambridge and then later to the early American colleges including Harvard and Yale. The founding values and perspectives of academic institutions are thus based not in modern societies but in premodern ones. The tangible culture is the original culture of these institutions, and Bergquist and Pawlak (2008) suggest that it



exists in our present culture at a much more extensive level than do any of the five academic cultures previously mentioned.

Higher education institutions with a significant tangible culture typically have implied purposes and boundaries. Employees of these institutions simply do what their predecessors have done. One would never have asked a professor what his intentions were or should be. If a professor was queried about his intentions, he would merely ask the person to come into his classroom or laboratory. If the inquirer probed deeper, the professor would likely assert the need for academic freedom and decline to respond, stating the inappropriateness of the questions pertaining to purposes or outcomes.

#### Relevance of Culture to Performance Appraisal

Today, colleges and universities are confronted with very difficult economic limitations, and because of this restricted monetary climate, greater degrees of accountability and measurement of educational results are expected (Greenberg, 2004). These institutions are looking for ways to deal with their financial, environmental, and managerial challenges. At the same time, there are fewer public funds available for higher education due to diminishing tax dollars and to many charitable organizations that are no longer as openhanded as they once were. It is also difficult to anticipate changes in government policies, student career interests, student educational needs, or competition from other educational institutions. Colleges and universities must be able to change in response to these uncertainties, and this change will be complicated and prolonged if it takes place in a bureaucratic educational setting (Bergquist & Pawlak, 2008). Inclusive

processes are needed in this change process. However, by allowing many constituencies and stakeholders to be involved, this minimizes the flexibility and reaction time to the outside environment.

Because of these challenges, there has been a significant change in the kind of organizational cultures that are present in twenty-first century higher education compared to the previous century (Bergquist & Pawlak, 2008). The collegial culture is still the prevalent culture although it is not as powerful as it used to be. Both the managerial and advocacy cultures have become stronger while the developmental culture has remained insignificant.

Significant cultural change comes slowly and resistance to change is even more prevalent in higher education than other parts of society (Bergquist & Pawlak, 2008; Greenberg, 2004). Bergquist and Pawlak suggest three reasons for this resistance to change. One reason is that faculty produce and teach new knowledge, and so colleges and universities exist to preserve some stability and to pass on lessons previously learned. This stability opposes change. Second, faculty have a degree of self-importance in their work because they often self-regulate professionally, and are therefore the authorities and know what is right. This can cause a lack of support for professional development and opposition to accountability and performance appraisal among faculty. Third, there is anxiety caused by such factors as difficult economic times, requests for greater accountability, less availability of public funds, an increasingly faster rate of new knowledge being generated or encountered, and more scrutiny of faculty work by peers and administrators in the classroom and laboratory. Where there are high levels of

anxiety in institutions, cultures become strong, and where cultures become strong coupled with high anxiety, the resistance to change increases. For these reasons, the successful use of performance appraisal in colleges and universities may need to take on different definitions, use different processes and methods, and be implemented in different ways in the future, depending on whether it is faculty, administrative leaders, or staff being evaluated.

### Religiously Affiliated Colleges and Universities

According to the U.S. Department of Education, there are 2,578 private colleges and universities in the United States, of which 892 classify themselves as religiously affiliated (Snyder, Dillow, & Hoffman, 2008). The religiously affiliated classification includes primarily Christian institutions (95%) as well as other faiths such as the Jewish faith and the Mormon faith. The term “religiously affiliated” refers to key components of the institutions, including their articles of incorporation, by-laws, curricula, personnel, and a religious purpose and presence (Andringa, 2009). A large group of these institutions range from having full denominational ownership and control at one end of the spectrum to a remote, inactive historical affiliation on the other end. Other institutions are clearly faith driven but have no connection to a denomination. Religiously affiliated institutions are located in 45 states, have student bodies ranging from 100 to 30,000 students, have endowments ranging from \$0 to more than \$500 million, and offer varying degrees from associate and baccalaureate degrees only to doctoral degrees (Andringa).

## Challenges Facing Religiously Affiliated Institutions

According to a study done by Andringa (2009) in 2005, there is cause for alarm for the future viability of most of these institutions. Aside from approximately 100 of the institutions that have solid financial foundations which should allow them to be successful for decades to come, the remaining 800 religiously affiliated colleges and universities have a fragile foundation. Andringa identifies seven primary causes of this fragility:

1. Location – the majority of these schools are located in small, rural towns. This is contrary to the urban settings with institutional enrollments of at least 5,000 which appeal to many current students. These students want 24/7 campus life and activities, and plentiful job opportunities.
2. Liberal Arts – most of the religiously affiliated colleges and universities are based on a liberal arts education, which is in contrast to other institutions that are focusing more on career-oriented programs. The commitment to liberal arts has become a risk for many of these institutions as they attempt to appeal to today's career-minded students.
3. Challenge of Church Relations – religiously affiliated institutions currently receive less than 20 percent of their student bodies from their related denominations. This is a lose-lose situation because if the denominational churches do not advocate for their denominational colleges, no one else can be expected to do so. If these institutions move away from their affiliated

denominations, they could lose the support of the churches and donors in their denominations that do support them.

4. Church–Campus Governance Conflicts – for many of these institutions there is conflict between institutional boards that want to be responsive to needed changes on their campuses, and the faculty and some administrators who may resist the needed changes. The President can be caught in a conflict between these two forces and unable to make necessary changes.
5. Institutional Independence and Political Decision Making – the independence of these institutions has been eroded in recent years due to the significant amount of financial aid their students receive from the Federal, and sometimes state, governments. Should politicians or the courts ever decide that there are Constitutional issues with this form of aid given to religiously affiliated institutions, any prohibitions would seriously undermine the core values of these institutions.
6. Cost of Residence Life – the small residential college is seen by some as an old, high cost model that no longer applies to the existing market. Students shop more for values in higher education, for example taking one class at a local, cheaper community college while enrolled in a four-year college for its campus life, and then also taking an on-line class from yet another college.
7. Faith and Accountability – the increased emphasis by the Federal government for institutions of higher education to demonstrate and measure their learning

outcomes can challenge the religious institutions as they fulfill the nuances and intricacies of their faith-based missions.

Andringa (2009) suggests that most of these religiously affiliated colleges and universities can survive in the future, but they will need to be led with vision and bold leadership. They will also need to hire faculty who see their faith as central to the development of the whole person rather than being just a private matter, and they will need to be willing to take more risks. Performance appraisal can assist in these efforts by holding employees accountable for identifying and taking necessary risks which could help the institutions in their push for survival in the future.

### Distinctives of Christian Colleges and Universities

The focus of this study is the 108 institutions in the United States that are members of the Council for Christian Colleges and Universities (CCCCU). These institutions are distinctly Christian and this section begins with an overview of the key distinctives of Christian colleges and universities. It is followed by a description of some additional characteristics of these institutions and then finally by a brief review of the origins of the CCCCU including its basic tenets and principles for membership. This section will help define and give understanding to the specific institutions that will be researched in this study and provide insight into their general nature and makeup.

Christian colleges and universities have a unique opportunity to provide American society with a distinctive approach to higher education – an approach that is based upon and shaped by the Christian faith (DeJong, 1992). The success of these institutions in

offering a unique educational model is significantly impacted by their ability to adopt and maintain their unique distinctives. DeJong divides the distinctives into two types – those relating to identity and those relating to the mission of the institution. Institutional identity is influenced by six components:

1. Private-Independent - This refers to the structure of the governing board of the institution. A private or independent institution is largely independent of government and political control and thus has more freedom in setting its distinctive educational identity.
2. Denominational Affiliation - Many Christian colleges and universities are affiliated with a church denomination which identifies the religious tradition that the institution is aligned with. This affiliation allows prospective students and the general public to draw conclusions about the nature of the institution and its theological viewpoints.
3. Residential Environment - Most of these institutions are residential in nature, with many of their students living on campus. This gives the institutions an opportunity to provide their students with a supportive campus community that shows concern for the students' normative development as a person, a learner, a worshiper, and a community member.
4. Behavioral Standards - Most church-related institutions have some type of behavioral standards that are derived from their religious traditions. These standards convey a sense of institutional identity and expectations for campus life.

5. Integration of Faith and Learning - Faculty and students are encouraged to integrate learning with their religious ideologies so that they are linked together rather than being compartmentalized as separate dimensions of their lives.
6. Emphasis on Teaching - The emphasis on the integration of faith and learning is closely related to an emphasis on teaching. While most of these institutions are involved in some research, their primary focus is on preparing students for leadership in all walks of life.

These six components of an institution's identity allow the institution to shape and communicate its unique identity and to form its institutional ethos.

The second type of distinctive that DeJong (1992) describes as impacting the unique organizational model of Christian colleges and universities is its institutional mission. The mission of the Christian institution separates it from other institutions by shaping its organizational life and guiding its day-to-day activities. DeJong describes four components that separate the mission of Christian institutions from other types of institutions.

1. Meaning and Value - The mission of a Christian institution is anchored in an expression of its Christian faith and grounded in a Christian view of reality. The entire educational experience is grounded in the Christian faith of the institution.
2. Intellectual Growth - While the overall mission of the institution is to foster intellectual growth, this is accomplished through a Christian point of view.



Academic excellence includes the cultivation of a Christian point of view relating to the subject matter, the learning process, and everyday living.

3. Social, Physical, and Spiritual Development - The institutional mission includes not just intellectual growth but also the social, physical, and spiritual development of the student.
4. Responsible Citizenship - Part of the emphasis of integrating faith and learning includes teaching ethical responsibility in the academic disciplines as well as in the ethical issues of society. Community service is also a component of citizenship and is based on the Christian precept of loving one's neighbors. Another component of being a responsible citizen is to respect the physical environment and to avoid exploiting the Earth's resources and polluting the environment.

Overall, institutional identity and mission establish linkages with the past and present while providing vision and direction for the future. The contribution of Christian colleges and universities to higher education lies in their ability to develop unique identities and missions through these distinctives (DeJong, 1992).

Muntz and Crabtree (2006) have provided three distinctives of Christian colleges and universities which in many ways are similar to those suggested by DeJong. The first one is a shared commitment to integrating faith, learning, and living, with an intentional emphasis on development of the whole person. Students are challenged intellectually and spiritually, with an emphasis to grow both academically and in their faith. A second distinctive is character development. The institutions are deliberate in helping their

students develop character traits such as integrity, truthfulness, honor, dependability, and reliability. This is implemented in several ways including programs directed by Student Affairs in the dormitories, service projects, weekly chapel services, and intramural sports. The final distinctive, and possibly the most significant one, is that all full-time faculty, administrators, and staff must have a personal affiliation or relationship with Jesus Christ. While there will always be differences of opinion between and within the faculty, administrators, and staff at Christian colleges and universities on a variety of academic, political, social, and scientific subjects, it is the faith commitment that offers a common ground.

#### Additional Characteristics of Christian Colleges and Universities

Christian colleges and universities are quite diverse and have varied historical and theological backgrounds (Muntz & Crabtree, 2006). Some of these institutions are nondenominational and interdenominational meaning that they are not associated with any particular church group. Examples include Gordon College (MA), Bryan College (TN), and Westmont College (CA). Other institutions are affiliated with a particular denomination such as Presbyterian or Baptist, but they are open to students from other denominations and sometimes students from other faiths who want to study in a Christian environment.

The location of these institutions varies widely across the United States. Some are found in urban settings such as Azusa Pacific University in the Los Angeles area, Dallas Baptist University (TX), and Seattle Pacific University (WA). There are many

found in small cities and suburbs including Calvin College in Grand Rapids, MI, Wheaton College in the suburbs of Chicago, IL, and Palm Beach Atlantic University in West Palm Beach, FL. There are also a number of these institutions found in small communities such as Northwest Nazarene University near Boise, ID and Alaska Bible College in Glenallen, AK.

Concerning the issue of academic quality, Christian institutions in general have developed their reputations as credible, competitive options in higher education. Although in the past they were relegated to the fringes of academic quality, they now consistently appear in the rankings of smaller institutions (Muntz & Crabtree, 2006). They are found in such publications as Princeton Review's *The Best 368 Colleges*, Kaplan's *Unofficial, Unbiased Guide to the 331 Most Interesting Colleges*, and *The National Review College Guide: America's Top Liberal Arts Schools*. Christian colleges and universities attract students from a wide variety of backgrounds – race, ethnicity, socioeconomic status, etc. – and from a variety of faith traditions (Muntz & Crabtree). The financial practices at these institutions are similar to those at their secular private counterparts concerning financial aid. While the Christian schools tend to have relatively small endowments, their costs also tend to be less than at other institutions. More than 100 of these institutions are members of the CCCU and a brief history of this organization will be provided next.

#### History of the Council for Christian Colleges and Universities

The Council for Christian Colleges and Universities currently serves as the principal professional association for Christian higher education in the United States

(Patterson, 2005). Its predecessor organization, the Christian College Consortium, was organized in 1971 to provide greater collaboration among Christian institutions and to help address the financial, enrollment, and identity issues that many of them were facing in the late 1960s and early 1970s. The Christian College Coalition was formed in 1976 as a spinoff from the Christian College Consortium and included the 14 institutions that were members of the Christian College Consortium. The Christian College Coalition was to have an expanded role in public advocacy while maintaining the commitment to the integration of faith and learning. It was also to have an emphasis on the freedom of Christian institutions to function educationally and religiously (Patterson). By 1988 it had grown to 77 members and included institutions from many Christian denominations including Wesleyan, Free Methodist, Church of the Nazarene, American Baptist, Southern Baptist, Presbyterian, Christian Reformed, Mennonite, Church of God, and the United Brethren in Christ. The criteria for membership in the Christian College Coalition included the following: (a) “accreditation as a four-year liberal arts college; (b) institutional commitment to Christ; (c) a policy of hiring well-qualified faculty and administrators who were committed Christians; (d) commitment to the integration of faith, learning, and living; and (e) commitment to excellence” (Patterson, pp. 46-47).

In 1995 the Christian College Coalition changed its name to the name it uses today – the Council for Christian Colleges and Universities. It has grown to over 100 institutions and has developed as a multi-faceted organization that represents Christian institutions of various sizes, organizational structures, lifestyles, denominational connections, and doctrinal positions.

## Governance, Freedom, and Accountability in Christian Institutions

Christian colleges and universities are confronted with the same issues that all colleges and universities are confronted with including difficult economic limitations, greater degrees of accountability, and measurement of educational results (Greenberg, 2004). They are looking for ways to deal with financial, environmental, and managerial challenges while dealing with changes in student career interests and educational needs as well as competition from other educational institutions.

These Christian institutions may also face another challenge associated with their partnership with an ecclesiastical or a faith tradition. This challenge is the tension between freedom and accountability (Forest & Kinser, 2002). On the one hand, faculty and students are encouraged to pursue truth with no hindrance of a priori assumptions. Ideas, theories, artifacts, and experiences are to be explored and discovered without restraint. On the other hand, the faith institutions argue that learning and the pursuit of knowledge are shaped by underlying beliefs and values, including those held by their faith tradition. Some scholars have argued that the purposes of Christian institutions are necessarily narrow and restrictive. This places doctrinal limits on scholarly inquiry which then lead to objectionable compromises of the principles of academic freedom (Sandin, 1992). However, in its pure form, the Christian college and university is not dogmatic but rather is open to all truth. Forest and Kinser (p. 155) suggest that the students and faculty of the Christian institutions proceed through the educational process with their worldviews in place and actively engage in the learning process through those

worldviews. This is not a form of dogmatism but rather clearly acknowledging and defining their own assumptions by virtue of the tenants of their faith.

### Summary

The use of performance appraisal can be traced back to China in the third century A.D., and from there it can be found in Ireland in the 1600s, in Scotland in the 1800s, and in the U.S. in the early 1800s. The U.S. government required the use of performance appraisal for all federal employees in 1978, and it became an established management tool in many organizations in the U.S. by the early 1950s. The use of performance appraisal in higher education is a more recent occurrence and began receiving significant attention in the 1960s and 1970s when competition for scarce resources and a decrease in the public's trust in higher education resulted in colleges and universities being asked to prove their effectiveness and efficiency (Alexander, 2000). The stakeholders of colleges and universities began holding these institutions to higher levels of accountability, and performance appraisal was adopted by the institutions as a tool to help strengthen their accountability.

Much of the literature on performance appraisal suggests that performance appraisal is an inevitable element of organizational life and, if done well, it serves a very useful role in the overall success of the institution. However, the literature also indicates there are significant challenges associated with performance appraisal. When it is not done well, it can be a detriment to the success of the institution and its employees.

There is little written on the use of performance appraisal by colleges and universities for their staff. It is important to know if performance appraisal is being used and if so, the benefits and challenges that are incurred. The next chapter develops the methodology that will be used to reduce the knowledge gap of how performance appraisal is being used for staff in colleges and universities.

## CHAPTER 3: METHODOLOGY

### Introduction

This exploratory study was designed to determine if Christian colleges and universities in the United States are using performance appraisal with their staff as a significant management tool, and to understand the frequency of use, the benefits obtained, and the challenges incurred in using performance appraisal.

### Population and Setting

The population for the study was the 108 institutions that are U.S. members of the Council for Christian Colleges and Universities (CCCCU). The CCCCU has three Canadian members, but these institutions were not included since the focus of this study was U.S. colleges and universities only. The CCCCU also has 70 affiliate institutions that are not included in this study because (a) they are located all over the world, (b) they do not have to be accredited four-year institutions, (c) they have less stringent curriculum requirements than the member schools, and (d) they do not have to hire only Christian faculty. See Appendix C for a list of the institutions that are U.S. members of the CCCCU and Appendix D for the religious affiliations that these institutions represent.

According to statistics released by the Department of Education for the fall, 2005, there were 4,253 degree-granting institutions in the U.S. of which 1,675 were public institutions and 2,578 were private institutions (Snyder, Dillow, & Hoffman, 2008). Of the private institutions, there were 892 religiously-affiliated institutions of which 108 U.S. institutions were members of the CCCCU and thus surveyed for this study. The



criteria for membership in the CCCU include a strong commitment to Christ-centered higher education, location within the U.S. or Canada, full regional accreditation (for U.S. campuses), primarily four-year comprehensive colleges and universities, a broad curricula rooted in the arts and sciences, Christians hired for all full-time faculty and administrative positions, and sound finances (Council for Christian Colleges and Universities).

The 2008-2009 Annual Report for the CCCU listed 319,289 students enrolled in CCCU schools with a faculty of 20,711. These schools had 34,096 graduates in 2007 and they have a total of 1.58 million alumni. They represent 26 church denominations and have total operating budgets of \$4 billion. There are 350 undergraduate majors and 140 graduate majors offered. Their enrollment ranges from 363 to 33,081 and the average tuition in 2008-2009 was \$18,577 (CCCU).

### Research Design and Rationale for Design

The format chosen to conduct this study was a self-administered, on-line questionnaire. The Human Resource directors at each CCCU institution were asked to complete the questionnaire for their institution. They were contacted because the performance appraisal process is normally administered by the Human Resource department, and due to this oversight function, directors of this department should have a broad understanding of the process of performance appraisal as well as an understanding of the benefits and challenges of the performance appraisal process at their respective

institutions. The directors would also be positioned to hear feedback from employees concerning these processes.

A list of the Human Resource directors and their contact information was developed by the researcher from the Internet site of each institution that is a member of the CCCU. This list became the population of participants that were asked to take part in this survey. The researcher used a five-step plan, based on a model developed by Dillman (2007) for achieving high response rates, to contact and follow-up with the participants in the survey. The five steps of the plan were:

1. Approximately four weeks after this proposal was approved by the dissertation committee, a pre-notice email was sent to each contact name to describe the research project and to request the participation of the people on the list. It identified the importance of the research project and how the results of the research were to be used. The purpose of this letter was to let people know ahead of time that they would be contacted. If there were any undeliverable emails, attempts were made to correct the name and/or email address and resend the pre-notice letter.
2. Approximately one week after the pre-notice email was sent, a link to the on-line questionnaire with a cover letter was emailed to the contact list. It requested the participation of the recipient of the email, provided additional information concerning the purpose and benefits of the research, and provided the estimated time needed to complete the questionnaire. It also indicated that

the responses to the questionnaire would be confidential and only released as summaries in which no individual answers would be identified.

3. Approximately one week after the cover letter and link to the questionnaire were emailed, a brief follow-up email with a link to the on-line questionnaire was sent as a reminder to those who had not returned it.
4. Approximately one week after #3 above, another email was sent to those participants who had not yet returned the questionnaire. It described the importance of the research and the importance of receiving a reply from the contact person.
5. A final reminder was given, either by phone call or email, one week after #4 above. It described the purpose of the research and asked the contact person to complete and return the questionnaire. It also indicated that this contact was the final one concerning this research.

An example of each of the above five letters can be found in Appendix E.

### Instrument Development

A self-administered questionnaire, called the *Survey of Use of Performance Appraisal for Staff Positions*, was developed by the author for this research and consisted of 33 questions (see Appendix F). The writings of Grote (2002) and Thomas and Bretz (1994) contributed to the content of the questions addressing the purposes of performance appraisal. The writings of Seldin (1988) and Winston and Creamer (1997) provided helpful insight into the questions concerning the benefits of performance appraisal, while

Murphy and Cleveland's (1995) and Longenecker's (2005) work contributed to the questions concerning the challenges of performance appraisal. The questions were closed-form design, meaning that the question permitted only a fixed number of responses. This format works well for a quantitative study (Gall, Borg, & Gall, 1996). The type and style of the questions were written using the eight criteria for assessing survey questions and the principles for writing survey questions developed by Dillman (2007) as a guide. Some of the questions related to whether or not the institutions used performance appraisal, their frequency of use, and the type of system used (see Appendix F for a copy of the questionnaire). These questions had "yes" or "no" responses (questions 1, 16, 17, and 18) as well as other various multiple choice responses (questions 2, 3, 4, 5, 14, and 15). Other questions concerned how performance appraisal was used at the institutions and used a 5-point Likert-type scale ranging along a continuum from Strongly Disagree to Strongly Agree (questions 6, 7, 8, 9, 10, 11, 12, and 13). There were also a series of questions concerning the challenges of performance appraisal systems that used a 5-point Likert-type scale ranging from Strongly Disagree to Strongly Agree (questions 19, 20, 21, 22, 23, 24, 25, and 26), and three questions that addressed the satisfaction of the institutions with their performance appraisal system (questions 27, 28, and 29).

### Pilot Study

The questionnaire was tested by distributing it to a group of 29 graduate students at the University of Central Florida who were enrolled in the class Analysis of Survey,

Record, and Other Qualitative Data during the summer term, 2008. Each student was asked to review the questionnaire in terms of content clarity, presentation, and ease of understanding. Written feedback was received including comments such as “very good structure and questions were to the point,” “wordy,” “change the word ‘just right’ to ‘sufficient,’” “provide directions for this section of the questionnaire,” “change ‘does not apply’ to ‘other,’” “use a different font for instructions for this section,” “answer #2 is too long and wordy,” and “well-organized and easy to follow.” Changes were made to several questions in the questionnaire based on this feedback. The questionnaire was also reviewed by 10 doctorate students enrolled in the Prospectus Writing class at the University of Central Florida, College of Education, during the fall term, 2008. Additional feedback was received and used from the doctorate students and the class professor to finalize the questionnaire. This included modifying the wording and multiple-response options for several questions and adding three additional questions to the questionnaire for a total of 33 questions.

Cronbach’s Alpha was used, based on the feedback of the pilot group, to measure the internal consistency and reliability of the questionnaire. Although the reliability coefficient for the entire questionnaire was low (.398), when the questions were grouped for relatedness to each other, the reliability coefficients were significantly higher (see Table 2). For the questions addressing how performance appraisal was used in each institution (questions 6 – 13), Cronbach’s Alpha was .701. For the questions addressing the appraisal process at each institution (questions 19 – 26), Cronbach’s Alpha was .737. Finally, for the questions addressing the overall satisfaction of the performance appraisal

Table 2

Subgroups of Questions and Cronbach's Alpha

Questions related to how performance appraisal is used in each institution

<b>Reliability Statistics</b>		<b>Item-Total Statistics</b>				
		Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted	
Cronbach's Alpha	N of Items	Feedback	26.67	11.032	.576	.635
.701	8	Pay	26.62	12.289	.400	.674
		PerfImp	27.05	9.037	.766	.567
		Goals	27.00	10.426	.603	.622
		Needs	27.10	12.617	.224	.705
		HirDecisions	27.19	12.494	.172	.722
		LegalSup	27.10	14.626	-.151	.783
		OrgPerf	27.29	9.292	.714	.583

Questions Addressing the Appraisal Process at each Institution

<b>Reliability Statistics</b>		<b>Item-Total Statistics</b>				
		Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted	
Cronbach's Alpha	N of Items	TooTime	18.68	7.727	.522	.686
.737	6	Vary	17.95	8.194	.540	.689
		Bias	18.37	6.474	.627	.648
		Validity	18.16	7.961	.419	.715
		Negative	17.95	8.723	.385	.723
		Interfere	18.63	7.532	.398	.728

Questions Addressing the Overall Satisfaction of the Performance Appraisal Process

<b>Reliability Statistics</b>		<b>Item-Total Statistics</b>				
		Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted	
Cronbach's Alpha	N of Items	MgrSatisfied	7.37	2.878	.575	.832
.809	3	EmpSatisfied	7.79	1.648	.683	.770
		InstiSatisfied	7.58	2.149	.813	.591

process at each institution (questions 27 - 29), Cronbach's Alpha was .809. Overall, when related questions were grouped together to test for reliability and consistency, they correlated well with each other and the Cronbach Alphas were above a generally accepted minimal value of .70, suggesting that the questions were reliable to use. The Flesch Reading Ease test rated the readability of the document on a 100-point scale and this questionnaire had a score of 43.9. The Flesch-Kincaid Grade Level score was 10.1 meaning it could be understood by a 10<sup>th</sup> grade student. These results suggested that the questionnaire was written in such a way that it would be easily understood by the Human Resource directors to whom the questionnaire was sent.

### Data Analysis

A survey instrument was emailed to study the use of performance appraisal for staff at Christian colleges and universities via [www.SurveyMonkey.com](http://www.SurveyMonkey.com). Using a 5-point Likert-type scale as well as other types of multiple choice questions and yes-no questions, the Human Resource directors were requested to complete the survey online and submit it to [SurveyMonkey.com](http://SurveyMonkey.com) upon completion. The Likert scale is particularly useful for ordinal data. A potential pitfall in using the Likert scale is to assume it is an interval scale and to then use incorrect statistical analysis to describe the data. Analyses of the data were reported using descriptive statistics including percentile rank and mean scores for each of the variables.

The following is a breakout of the questions in the *Survey of Use of Performance Appraisals for Staff Positions* questionnaire as they related to the three research

questions. Each research question is listed below along with the items in the questionnaire that helped answer the research question and the statistical analysis that was used.

Research Question 1. To what extent are the Christian colleges and universities in the United States that are members of the CCCU using performance appraisal for their staff? Items 1, 2, 3, 4, 5, 14, 15, 16, 17, and 18 addressed this question. The data were tabulated and reported, and frequencies and percentages were calculated for all responses.

Research Question 2. What benefits do these institutions receive from their performance appraisal systems? Items 6, 7, 8, 9, 10, 11, 12, 13, 27, 28, and 29 addressed this question. To answer this question, the data were collected using a 5-point Likert-type scale. Frequencies and percentages were calculated for all responses.

Research Question 3. What are the challenges and pitfalls these institutions experience using a performance appraisal system? Items 19, 20, 21, 22, 23, 24, 25, and 26 addressed this question. To answer this question, the data were collected using a 5-point Likert-type scale. Frequencies and percentages were calculated for all responses. There were four additional items in the questionnaire (30-33) that addressed the demographics of the population that were multiple choice and fill-in-the-blank questions.

#### Authorization to Conduct the Study

IRB approval was secured by the researcher (see Appendix G for the approval letter).



### Originality Score

The University of Central Florida (UCF) College of Graduate Studies requires that each student's dissertation or thesis be submitted for originality. It has chosen the tool Turnitin (iParadigms, 2009) to test for originality. The acceptable score defined by the graduate advisor for this research was less than or equal to ten percent. Upon initial submission, the researcher received a score of 42%. With removal of bibliographic and quoted material the score decreased to 32%, and with the exclusion of matches attributed to the researcher, the score was further reduced to 12%. An item-by-item review allowed for an additional reduction in the total score to between 3% and 6%. The document was approved as original work by the researcher's graduate advisor.

## CHAPTER 4: ANALYSIS OF DATA

### Introduction

The primary purpose of this study was to determine the extent to which the colleges and universities that are members of the Council for Christian Colleges and Universities (CCCU) in the United States are using performance appraisal for their staff positions. The study also focused on the benefits and challenges that these institutions experienced in using their performance appraisal systems. This chapter contains the presentation and analysis of the data collected in the study.

### Population

The population surveyed in this study consisted of the 108 colleges and universities that are members of the CCCU. The data were collected from the responding institutions during the months of June and July, 2009. A total of 90 (83.3%) of the member institutions of the CCCU completed and returned the questionnaire to the researcher. Information concerning the size of the responding institutions, as measured by the size of the student body, is in Table 3, and as measured by the number of staff and administrators, in Table 4.

### Research Question 1

To what extent are the Christian colleges and universities in the United States that are members of the CCCU using performance appraisal for their staff?

Table 5 presents the data regarding the use of performance appraisal for the

Table 3

Number of Students at Responding Institutions

How many total undergraduate and graduate students does your institution have?		
Answer Options	Response %	Response Count
Less than 1,000 students	21.6%	19
Between 1,000 and 2,000 students	35.2%	31
Between 2,000 and 3,000 students	21.6%	19
More than 3,000 students	21.6%	19
<i>answered question</i>		88

Note: Two institutions did not respond to this question.

Table 4

Number of Staff and Administrators at Responding Institutions

How many staff and administrators (i.e. all employees excluding faculty) does your institution have?		
Answer Options	Response %	Response Count
Less than 200	40.9%	36
Between 200 and 600	54.5%	48
Between 600 and 1,000	4.5%	4
More than 1,000	0.0%	0
<i>answered question</i>		88

Note: Two institutions did not respond to this question.

Table 5

Use of Performance Appraisal for Staff Positions

Does your institution use a performance appraisal system for the evaluation or development of its staff positions?		
Answer Options	Response %	Response Count
Yes	84.4%	76
No	15.6%	14
<i>answered question</i>		90

evaluation or development of staff positions at these institutions. The data indicate that of the 90 institutions that responded to the questionnaire, 84.4% (76 of the institutions) used a performance appraisal system for their staff positions.

For the 76 institutions that used a performance appraisal system, Table 6 provides data indicating how long they had used performance appraisal for their staff. The majority of institutions (71.1%) had used performance appraisal for staff for more than 6 years, while 17.1% of the institutions had used performance appraisal for one to three years, and 10.5% for four to six years.

Table 6

Length of Time that Performance Appraisal Has Been Used

How long has your institution used a performance appraisal system?		
Answer Options	Response %	Response Count
Less than 1 year	1.3%	1
1 - 3 years	17.1%	13
4 - 6 years	10.5%	8
More than 6 years	71.1%	54
<i>answered question</i>		76

Note: Only 76 institutions use performance appraisal systems.

When asked what kind of performance appraisal system their school used, 98.7% (75 of 76) responded that they used a manual system using either a word-processing program or a paper system, while only one school used a software program written specifically to do performance appraisal. The data are summarized in Table 7. The one institution that used a software program written specifically for performance appraisal

used a program purchased from a software vendor rather than written and developed internally by the institution.

Table 7

Type of Performance Appraisal System Used

Which of the following best describes the type of performance appraisal system that your institution uses?		
Answer Options	Response %	Response Count
A manual system using either a word-processing program (e.g. Microsoft Word) or a paper system.	98.7%	75
A software program written specifically to do performance appraisals.	1.3%	1
<i>answered question</i>		76

Note: Only 76 institutions use performance appraisal systems.

Table 8 provides a summary of the responses to the question asking how performance appraisal was used by each institution. Most institutions (89.5%) used performance appraisal both to review past performance and to improve the effectiveness of the employees, while 6.6% used performance appraisal to only review past performance and 3.9% used performance appraisal to only improve the effectiveness of employees.

For those institutions that used performance appraisal for their staff, 90.8% (69 of 76) administered performance appraisal once a year, while only one school administered performance appraisal every six months. Six schools provided additional responses including using an annual appraisal process after an initial 90-day review was completed

at the beginning of employment, or giving two reviews in the first year and then an annual review thereafter. These schools were effectively giving annual reviews after the initial start-up period (see Table 9).

Table 8

Description of How Performance Appraisal is Used

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In your institution, performance appraisals are used primarily to (please check only one box):

Answer Options	Response %	Response Count
Review past performance	6.6%	5
Improve the effectiveness of the employees	3.9%	3
Both review past performance and improve the effectiveness of the employees	89.5%	68
<i>answered question</i>		76

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Table 9

Frequency of Receiving a Formal, Written Performance Appraisal

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How often do most employees receive formal, written performance appraisals from their supervisors?

Answer Options	Response %	Response Count
Once a month	0.0%	0
Once a quarter	0.0%	0
Once every 6 months	1.3%	1
Once a year	90.8%	69
Other (please specify)	7.9%	6
<i>answered question</i>		76

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## Research Question 2

What benefits do these institutions receive from their performance appraisal systems?

In questions six through thirteen in the questionnaire, the respondents were asked to rate a group of eight statements concerning their performance appraisal system, using a rating scale of Strongly Agree, Agree, Neither Agree or Disagree, Disagree, or Strongly Disagree. Table 10 provides the responses to these eight statements.

Table 10

### How Performance Appraisal is Used

How are the results of your performance appraisal system used in your institution?						
Answer Options	Strongly Agree	Agree	Neither Agree or Disagree	Disagree	Strongly Disagree	Response Count
To provide written feedback to employees about their performance.	52	24	0	0	0	76
To facilitate decisions concerning pay increases, promotions, and layoffs.	11	22	24	9	10	76
To encourage performance improvement.	36	39	0	1	0	76
To set and measure goals.	29	38	7	2	0	76
To determine individual and organizational training and development needs.	14	35	14	10	3	76
To confirm that good hiring decisions are being made.	7	24	31	9	5	76
To provide legal support for personnel decisions.	18	38	15	3	2	76
To improve overall organizational performance.	24	38	7	5	2	76

When the Strongly Agree and Agree rankings are grouped together, the statement “to provide written feedback to employees about their performance” received 100% of the responses. Additional statements that received 60% or more of the Strongly Agree or Agree responses were: (a) to encourage performance improvement (99.0%), (b) to set and measure goals (88.2%), (c) to improve overall organizational performance (81.6%), (d) to provide legal support for personnel decisions (73.7%), and (e) to determine individual and organizational training and development needs (64.5%). The remaining two of the eight statements which received the lowest rankings were: (a) to facilitate decisions concerning pay increases, promotions, and layoffs (43.4%), and (b) to confirm that good hiring practices are being made (40.8%).

Each institution was also asked to rank three statements concerning the satisfaction of their managers, staff, and institution respectively with their performance appraisal system (see Table 11). The respondents ranked the managers at their institutions as being either Very Satisfied or Satisfied in 42.7% of the institutions. Respondents ranked their institution’s employees as being either Very Satisfied or Satisfied in 34.6% of the institutions. The overall satisfaction level for the institution was ranked as Very Satisfied or Satisfied in 42.6% of the institutions. No respondents ranked their institution as being Very Dissatisfied with their performance appraisal system.

### Research Question 3

What are the challenges and pitfalls these institutions experience using a performance appraisal system?



Table 11

## Satisfaction with Performance Appraisal System

Please indicate answers for the following questions by marking the appropriate circle:

Answer Options	Very Satisfied	Satisfied	Neither Satisfied or Dissatisfied	Dissatisfied	Very Dissatisfied	Response Count
How satisfied are your institution's managers with your performance appraisal system?	2 (2.7%)	30 (40.0%)	29 (38.6%)	14 (18.7%)	0 (0%)	75 (100%)
How satisfied are your institution's employees with your performance appraisal system?	1 (1.3%)	25 (33.3%)	36 (48.0%)	13 (17.4%)	0 (0%)	75 (100%)
The overall satisfaction level of your institution with its performance appraisal system is:	1 (1.3%)	31 (41.3%)	31 (41.3%)	12 (16.1%)	0 (0%)	75

Note: One respondent did not respond to this question.

The respondents were asked to answer a group of eight statements concerning their performance appraisal system, using a rating scale of Strongly Agree, Agree, Neither Agree or Disagree, Disagree, or Strongly Disagree (see Table 12). Two of the eight statements generated a high Disagree or Strongly Disagree ranking from the respondents.

Table 12

## Challenges and Pitfalls of Performance Appraisal System

Please rate the following statements about your performance appraisal system by marking one circle for each statement.						
Answer Options	Strongly Agree	Agree	Neither Agree or Disagree	Disagree	Strongly Disagree	Response Count
It demands too much time and effort from supervisors.	1	7	14	44	9	75
Standards and ratings vary widely and sometimes unfairly from supervisor to supervisor.	3	39	16	13	4	75
The supervisor's personal values and bias can replace organizational standards in the evaluation process.	4	41	16	13	1	75
The validity of the ratings is reduced by supervisory resistance to give the ratings, particularly negative ratings.	6	39	14	12	4	75
Negative feedback can demotivate an employee.	4	26	19	25	1	75
Performance appraisals interfere with the more constructive coaching relationship that should exist between a supervisor and his/her staff.	0	4	13	51	7	75
Managers and staff provide input in the design, development, and choice of criteria used in the appraisal.	5	29	15	24	2	75
The performance appraisal system is periodically reviewed and changed to insure its effectiveness.	9	35	17	13	1	75

Note: One respondent did not respond to this question.

For the statement that said that their performance appraisal system “demands too much time and effort from supervisors,” 70.7% of the respondents either Disagreed or Strongly Disagreed with this statement. For the statement that said “performance appraisals interfere with the more constructive coaching relationship that should exist between a supervisor and his/her staff,” 77.3% of the respondents either Disagreed or Strongly Disagreed.

Four of the statements generated a Strongly Agree or Agree response that was over 50%. They included (a) standards and ratings vary widely and sometimes unfairly from supervisor to supervisor, (b) the supervisor’s personal values and bias can replace organizational standards in the evaluation process, (c) the validity of the ratings is reduced by supervisory resistance to give the ratings, particularly negative ratings, and (d) the performance appraisal system is periodically reviewed and changed to insure its effectiveness. Each of the eight statements had a rating in the response category of Neither Agree or Disagree between 17.3% and 25.3%, indicating that these respondents were either unsure or did not know how to rank that statement for their institution.

Table 13 provides the data summarizing the responses to the question whether or not the leadership of the institution supported and encouraged the use of performance appraisal. Ninety-three percent of the respondents indicated that they Strongly Agreed or Somewhat Agreed that the use of performance appraisal was supported and encouraged by their leadership. There were only three respondents (3.9%) who indicated they Somewhat Disagreed with the above statement and two respondents (2.6%) who Strongly Disagreed with the statement.

Table 13

## Support by Leadership of the Institution

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The use of performance appraisal is supported and encouraged by the leadership of your institution.

Answer Options	Response %	Response Count
Strongly agree	51.3%	39
Somewhat agree	42.1%	32
Somewhat disagree	3.9%	3
Strongly disagree	2.6%	2
<i>answered question</i>		76

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The results of question 15 concerning the sufficiency of training provided to supervisors to give effective performance appraisal were mixed (see Table 14). Fifty-three percent of the respondents said that there was not sufficient training provided to supervisors, while 38.2% said that the training was sufficient and 6.6% said it was more than sufficient.

Table 14

## Training Provided to Supervisors

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The amount of training provided supervisors in your institution to give effective performance appraisal is:

Answer Options	Response %	Response Count
More than sufficient	6.6%	5
Sufficient	38.2%	29
Not sufficient	52.6%	40
None	2.6%	2
<i>answered question</i>		76

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When a supervisor did not complete a performance appraisal on time, 73.7% of the respondents said that the supervisor was notified by management and was asked to complete the review (see Table 15). However, 52.6% of the respondents said that there was no action taken directly with the supervisor by management when appraisals were not completed on a timely basis, and some appraisals were never completed. To further explore this issue, respondents were asked if supervisors' future performance appraisals were negatively impacted if the supervisors did not complete the appraisals for their staff. Only 26.3% responded "yes" to this question.

Table 15

Non-completion of Performance Appraisal by Supervisor

Answer Options	Yes		No	
The supervisor is notified by management and is asked to complete the review.	56	73.7%	20	26.3%
There is no action taken with the supervisor by management and some appraisals are never completed.	40	52.6%	36	47.4%
This will negatively impact the future performance appraisal of the supervisor.	20	26.3%	56	73.7%
<i>answered question</i>			76	

### Responses to Open-Ended Question

The final question in the questionnaire allowed the respondents to comment or elaborate on any of the issues addressed in the questionnaire that would complement the research study. Of the 90 respondents to the questionnaire, 25 respondents provided

comments to the open-ended question. This section will highlight some of the more significant themes that were noted.

There were four responses that indicated the institution had either recently strengthened or was planning to strengthen its performance planning process in the future. Their comments included:

1. “am in process of assessing our current performance management system - and plan to implement a new system more aligned w/ organizational goals, performance goals, and behavioral competencies.”
2. “We are in the process of moving toward a new approach to performance appraisal. We have had a campus-wide task force evaluating content and structure, and selecting a software product. We hope to implement a new process over the next academic year.”
3. “This is our first year for the PMP.”
4. “We have new performance appraisal system that was begun just last summer (2008). Top level support is still more lip service than by example, but it is more support than previously given. Extensive training was provided. A task force of administrators and staff and HR designed the new process and form. It is well liked by those that have used it already.”

There were four institutions who indicated that their performance appraisal system needed improvement. The comments included:

1. “Because our appraisal process is merely evaluative and not necessarily tied to performance management, it lacks effectiveness. It needs an overhaul;

however, this would require time and resources that are not currently available and I'm not sure if managers and supervisors are willing to commit the time to accomplish this.”

2. “Human Resources would like to revise the forms used at our institution.”
3. “Our P/A system and compliance is very poor, and is high on our radar to improve soon!”
4. “I have wanted to revise our appraisal tool during my nearly two years at the institution but other pressing needs have pushed it lower on the priority scale.”

There was frustration voiced by several respondents concerning the lack of support for their performance appraisal system by their administrators and staff:

1. “Evaluation forms are sent out for every position every year; something less than half are returned ...I now send the VPs quarterly reports showing evaluations completed, which has also increased the number returned, but not above half. I dislike the process, and I think employees do too, because it isn't applied uniformly. I send all the forms out, but have been evaluated myself only once in 19 years.”
2. “We have a performance appraisal system in place – most managers do not enjoy completing the forms and as such, most are delinquent and even sometimes missed completely. The appraisals are not tied to salary increases or job promotion. It seems as though it’s simply an exercise that takes up time. I struggle with trying to get managers to complete the forms. Sigh...frustrating.”

3. “This institution lacks a standardized campus-wide performance appraisal system. Many employees do not even receive evaluations and nobody is held accountable for not providing them. As our institution lacks an HR department, there is no one to oversee these kinds of issues, which is detrimental to employees and in turn the institution as a whole.”
4. “At present, consistency varies widely in our institution with some departments adhering to a regular performance appraisal schedule and other departments avoiding the process. Our goal is to create a campus-wide structure and system of accountability to improve this.”

#### Summary

This chapter has presented analyses of the data generated by the responses of 90 (83.3%) Human Resource professionals from the colleges and universities that are members of the Council for Christian Colleges and Universities. Of the 90 institutions that responded, 76 indicated they used performance appraisal for their staff. The survey instrument, Survey of Use of Performance Appraisal for Staff Positions (Appendix F), was used to determine if the institutions were using performance appraisal for their staff, and if so, the perceived benefits and challenges they experienced in using performance appraisal. This information was used to answer the research questions that guided this study. A discussion of the results, conclusions, implications, and recommendations based upon the data is presented in Chapter 5.



## CHAPTER 5: SUMMARY, IMPLICATIONS, AND RECOMMENDATIONS

### Statement of the Problem

The focus of this exploratory study was to determine if the colleges and universities in the United States that are members of the Council for Christian Colleges and Universities (CCCU) were using performance appraisal with their staff as an important management tool. The study was limited to this subset of colleges and universities because there is little written in the literature on performance appraisal for these institutions, and because the researcher had a teaching relationship with one of the schools.

A review of the literature did not yield any study focusing on the use of performance appraisal for staff positions in Christian colleges and universities, and thus the present investigation was informed by the work on these issues in other areas. The purpose of the study was to determine, based on the input of the Human Resource Director at each institution, how widespread the usage was of performance appraisal systems and to understand the challenges and pitfalls that the institutions had in using them. If the study found that these institutions were not using this tool or not using it effectively with their staff, it would indicate that they could be overlooking the significant benefits that performance appraisal can create. Using performance appraisal would provide one way for them to meet the increasing accountability demands they are experiencing from policymakers and to create the focus and achieve the outcomes they desire to accomplish. This is particularly true in times of economic crisis when performance appraisal can help institutions use their resources more efficiently.

## Methodology

The format chosen to conduct this study was a self-administered, on-line questionnaire. The Human Resource directors at each CCCU institution were asked to complete the questionnaire for their institution. A total of 90 (83.3%) of the institutions completed and returned the questionnaire. The Human Resource directors were contacted because the performance appraisal process is normally administered by the Human Resource department. Due to this oversight function, they should have a broad understanding of the process of performance appraisal and an understanding of the benefits and challenges of the performance appraisal process at their respective institutions. The directors would also be positioned to hear feedback from employees and supervisors concerning these processes.

A list of the Human Resource directors and their contact information was developed by the researcher from the institution's Internet site or by calling each institution. This list became the population of participants that were asked to take part in this survey.

## Summary and Discussion of the Findings

### Introduction

The focus of this study was based on a conceptual framework developed by Winston & Creamer (1997). Performance appraisal is a key component of this framework, particularly as it relates to other components of the framework which include supervision and staff development. The performance appraisal component contains

certain system requirements which are necessary for performance appraisal to be successful. They include (a) a dual focus on employee and organizational improvement, (b) a link from performance appraisal to institutional productivity and rewards, (c) the recognition of contextual constraints on employee performance, (d) the constant involvement of all stakeholders, (e) the requirement that procedures are clear, open, and fair, (f) ongoing review and update of position requirements, (g) the requirement that appraisers show leadership and recognize their unique contribution to the results of the appraisals, and (h) the avoidance of all systematic biases (Winston & Creamer, 1997, pp. 281-282). The following discussion relates the findings of this study to the components of the framework.

#### Research Question 1

To what extent are the Christian colleges and universities in the United States that are members of the CCCU using performance appraisal for their staff?

The results of this research indicated that 84.4% (76) of the responding institutions used a performance appraisal system for their staff positions. In addition, 62 of the responding institutions (81.6%) had used a performance appraisal system for four or more years. As previously reported in this study, there is little literature addressing the topic of the use of performance appraisal for staff positions in colleges and universities. In one of the few studies on this topic, Creamer and Winston (1999) found that 26.0% of student affairs support staff, 33.0% of deans, and 37.0% of directors had not received a performance appraisal in the past 12 months. This came from a study of 50 institutions

from four Carnegie classification types (research institutions, comprehensive colleges and universities, liberal arts colleges, and two-year colleges).

At first appearance, it would seem that the results of the current study showed a higher use of performance appraisal for staff than did the study completed by Creamer and Winston (1999). However, the results are not directly comparable because the existence of a performance appraisal system at an institution does not necessarily guarantee that the system was actually being used consistently and with all staff. It merely means that the institution did have a performance appraisal system in place. Comments from the current study included statements from the respondents that performance appraisal was not being consistently utilized across all departments or even within a department at a given institution, implying that some staff at an institution received appraisals while other staff did not.

Overall though, the results of the current study - that 84.4% (76) of the responding institutions did use a performance appraisal system for their staff - suggest that there has been an increase in the number of institutions that use performance appraisal since the Creamer and Winston (1999) study was completed. It is also interesting to note that the findings are comparable with the findings by Grote (2002) that 75.0% to 90.0% of all companies use a performance appraisal system. This may signal that colleges and universities have increased their usage of performance appraisal over recent years to be more comparable with non-academic institutions. The increased usage of performance appraisal could be attributed to such factors as the escalation in public dissatisfaction with higher education, the growth of the assessment or accountability movement, the

expansion of the use of TQM, the decline in operating budgets, and/or increased litigation.

The results of the current study indicated that all but one of the institutions (98.7%) that used a performance appraisal system used a manual system using either a word-processing program (e.g. Microsoft Word) or a paper system rather than a commercial software program written specifically to do performance appraisal (e.g. Trakstar, eAppraisal, or EmpXtrack). These results suggest that either (a) the institutions did not consider that the use of a software program written specifically for performance appraisal created sufficient benefit to justify the cost of purchasing a software system, (b) performance appraisal was not a high enough priority to justify the time and money needed to evaluate, purchase, and implement a new system, or (c) there were no resources available for any new programs or improvements to existing programs. Judging from some of the responses to the open-ended question received in the survey noted in Chapter 4, the probable reason was performance appraisal was not a high enough priority or deemed important enough at these institutions to warrant it being allocated additional time and money.

One of the questions asked of each institution was how performance appraisal was used in their institution. The literature suggests that performance appraisal serves two basic purposes: the first is evaluative (or administrative) as the term “appraisal” implies, and the second is developmental (Brinkerhoff & Kanter, 1980; McKinnon, 1993; Rynes, Gerhart, & Parks, 2005). The evaluative function refers to the extent to which there has been progress toward goals as a result of the employee’s efforts. It is backward looking

where past performance is reviewed in light of the results achieved. It can include the use of performance appraisal for salary management, promotions, terminations, layoffs, and identifying poor performance (Boswell & Boudreau, 2000). It is used not only to enable organizations to make decisions about individuals, but also to compare candidates on some type of objective basis (Brinkerhoff & Kanter).

The development function is forward looking, directed towards increasing the capacity of employees to be more productive, effective, efficient and satisfied in the future. It covers such things as job skills, career planning, employee motivation, and effective coaching between managers and subordinates. It is any endeavor concerned with enhancing attitudes, experiences, and skills that improve the effectiveness of employees (Boswell & Bourdeau, 2002).

Almost all (89.5%) respondents to the current study indicated that their institution used performance appraisal to review past performance and to improve the effectiveness of the employees. Only 6.6% said that they used performance appraisal solely to review past performance, and 3.9% said they used it only to improve the effectiveness of their employees. This suggests that most institutions feel that performance appraisal should be used for both purposes simultaneously. Boswell and Bourdeau (2002) found that some research indicated that the developmental and evaluative uses of performance appraisal are incompatible and should not be used together, while other research indicated there is either no correlation, or a slight positive correlation, when they are used together. A total of 10.5% of the respondents in this study used performance appraisal for either evaluative or developmental purposes, but not for both. This is a small percentage of the total and it

suggests that these institutions are not receiving the maximum benefits available from the appraisal process. These institutions may feel there is a conflict when evaluative and developmental appraisals are done together. This is particularly true if an employee's compensation is impacted by the results of the appraisal, since it could influence how honest and truthful a supervisor is with the employee. The results of the current study strongly suggest, however, that most institutions feel that both purposes of performance appraisal can be used together effectively. Additional research is needed with a larger population to clarify this important question.

When the responding institutions were asked about the frequency in which performance appraisals were given to their staff, most respondents (90.8%) said their institutions gave annual appraisals. In reading through the literature on this topic, an annual performance appraisal was by far the most common frequency. In fact, the word "annual" is often incorporated into the name of the system or process used at an institution, and performance appraisals are commonly called "annual reviews" or "annual appraisals". They are most frequently given annually because they are typically related to the institutional strategic planning process and to the annual employee salary evaluation process. Institutions typically engage in an annual planning process which includes both long-range strategic planning and an annual budget process. Since the performance appraisal process helps link the goals and outcomes of individual employees to the institutional goals, it makes sense that the appraisal process would also occur annually. In addition, because institutions often link annual salary evaluations to the

results of performance appraisals, it is logical that the term of the appraisal process would coincide with the salary evaluation process.

## Research Question 2

What benefits do these institutions receive from their performance appraisal systems?

The results of the research indicate strong agreement with the literature in the area of benefits received by the institutions in the study. As discussed in Chapter 4 (and included in Table 10), each of the eight statements in the questionnaire that described possible benefits of performance appraisal received a rating of Strongly Agree or Agree from at least 41.0% of the respondents and went as high as 100% of the respondents. This supports the research by Grote (2002), as well as the research by Mohrman, Resnick-West, and Lawler (1989) who found that the appraisal process can a) provide a managerial instrument for goal setting and performance planning with employees, b) encourage interaction concerning employee growth and development, c) make available a basis for wage and salary changes, and d) generate information for a variety of human resource decisions. These results also support the findings of Murphy and Cleveland (1995) who identified several ways in which performance appraisal could help organizations including a) informing decisions regarding promotions, layoffs, and transfers, b) improving employees' decisions concerning development needs and career decisions, and c) providing tools for evaluating the effectiveness of current or planned ways of operating.



The preceding research findings relate directly to three of the system requirements that were described by Winston and Creamer (1997) in their conceptual framework as necessary components for successful performance appraisal. These three components are a dual focus on employee and organizational improvement, a link from performance appraisal to institutional productivity and rewards, and an ongoing review and update of position requirements. The results of the survey therefore strongly support the conceptual framework which states the importance of these components.

Finally, the results of the research also support the statement by Murphy and Cleveland (1995) that none of the possible benefits will automatically accrue to an organization due to the mere presence of a performance appraisal system. Rather, the organization must plan and implement its performance appraisal system well to incur some or all of these benefits. The results of this study found there were many institutions that did use a performance appraisal system, but they were not receiving all the potential benefits that an appraisal system could offer. This was observed, either directly or implied, in the responses to the open-ended question in the questionnaire which asked respondents to comment or elaborate on any of the issues addressed in the questionnaire (see Chapter 4). These comments addressed several of the other principles found in the conceptual framework that were not being implemented well which Winston and Creamer (1997) identified as critical to a successful performance appraisal system. These included the recognition of contextual constraints on employee performance, the constant involvement of all stakeholders, the requirement that procedures are clear, open and fair,

the requirement that appraisers show leadership and recognize their unique contribution to the results of the appraisals, and the avoidance of all systematic biases.

### Research Question 3

What are the challenges and pitfalls these institutions experience using a performance appraisal system?

The challenges associated with the design, implementation, and functional use of appraisal systems are well documented (Longenecker & Nykodym, 1996). The responses in the current study indicated agreement with several of the challenges and pitfalls found in the literature regarding the use of a performance appraisal system (Bretz, Milkovich, & Read, 1992; Oberg, 1972). These include (a) the validity of the ratings is reduced by supervisory resistance to give the ratings, particularly negative ratings, (b) the supervisor's personal values and bias can replace organizational standards in the evaluation process, and (c) standards and ratings vary widely and sometimes unfairly from supervisor to supervisor. The total of the Strongly Agree and Agree responses for these challenges was significant, ranging from 56.0% to 60.0%. There was less support (40.0%) for the statement that negative feedback can demotivate an employee. Finally, there was very little support in the current study for the statements that said that performance appraisal demands too much time and effort from supervisors (10.6%), and that performance appraisal interferes with the more constructive coaching relationship that should exist between a supervisor and his/her staff (5.3%). Two of the challenges and pitfalls noted in the literature can arise when an institution does not allow managers and staff to provide input in the design, development, and choice of criteria used in the

appraisal, and the performance appraisal system is not periodically reviewed and changed to insure its effectiveness. The current study found that 34.7% of the institutions did not allow managers and staff to provide input in the appraisal, and 18.6% did not periodically review and change their appraisal systems. The Winston and Creamer conceptual framework suggests that these institutions were not achieving the maximum results from their appraisal systems because the institutions were not allowing the constant involvement of all their stakeholders, nor were they having an ongoing review and update of their appraisal systems.

In the current study, it was found that 42.6% of the respondents were either Very Satisfied or Satisfied with their institution's appraisal system and 16.0% were dissatisfied. This is in contrast to the research by Longenecker and Fink (2007) which found that 76% of 243 managers in 25 Fortune 1000 service and manufacturing companies were less than satisfied with their performance appraisal process. However, the difference may be explained by the fact that the Longenecker and Fink study requested responses from multiple managers at each of several companies whereas the current study requested feedback from only the Human Resource Director at each institution. The Human Resource Directors may have had a biased view of the appraisal system at their institutions since they had ownership and responsibility for the success of the appraisal system and may not have wanted to criticize a system for which they were responsible.

A final challenge or pitfall in using a performance appraisal system is lack of leadership support for the process. Leadership refers here to the top office in the

university or college – the Office of the President. Strong support by leadership for the appraisal process is needed to help make the process beneficial. In the current study, 93.4% of the respondents said the leadership of their institution supported and encouraged the performance appraisal system at their institution. If the responses to this question are viewed in isolation, it would appear that there was very strong leadership support for performance appraisal at the responding institutions. Only 6.5% of the respondents disagreed that there was strong leadership support at their institution. However, the responses to two additional questions in the survey seemed to at least partially contradict the results of this question.

One question asked if the amount of training provided to supervisors in their institution who give performance appraisal was sufficient. Fifty-three percent of the respondents said that the training was not sufficient, and an additional 2.6% said there was no training given. It is difficult to accept the conclusion that performance appraisal is supported and encouraged by the leadership of the institution when over 55% of the institutions provide either little or no training for their supervisors for doing performance appraisal. This question also suggests that due to the high percentage of institutions that do not provide sufficient training, this represents a significant opportunity for these institutions to improve their appraisal systems.

In a related question which asked about the implications for supervisors when they did not complete an appraisal on time, 52.6% of the respondents said there was no action taken with the supervisors by management, and some appraisals were never completed. In addition, 26.3% said it would not negatively impact the future

performance appraisal of the supervisor. These responses indicate that leadership support of the appraisal process may have been lacking at these institutions since resources were not being allocated to provide sufficient training for the supervisors, and since there were no adverse implications for supervisors who were not carrying out that aspect of their jobs. It could be that the leadership support of the appraisal system was in word only, but not backed up by the commitment of time and financial resources. This perceived lack of support for performance appraisal by the institutional leadership is a significant challenge to accomplishing a successful performance appraisal process. It does not satisfy one of the system requirements in the conceptual framework that requires supervisors (including leadership) to recognize the importance of their contribution to the results of the appraisal process by doing appraisals in a timely and consistent way.

#### Implications for Practice

The results of this study showed that while most (84.4%) of the 108 institutions that are members of the Council for Christian Colleges and Universities were using a performance appraisal system for their staff, there were still 14 institutions that were not using an appraisal system. According to the results of the current study, which support much of the literature on this topic, these 14 institutions could receive some or all of the following benefits if they implemented an appraisal system: (a) provide a tool for goal setting and performance planning with their employees, (b) provide written feedback to employees about their performance, (c) encourage performance improvement, (d) provide a basis for wage and salary changes, (e) provide legal support for personnel decisions, (f)

determine individual and organizational training and development needs, and (g) improve overall organizational improvement. There is sufficient evidence obtained through this research to encourage these institutions that do not have appraisal systems to devote the necessary resources to implement an effective performance appraisal system.

While most of the institutions in this survey did use an appraisal system for their staff, only one used software written specifically for performance appraisal. An automated software appraisal system can improve the appraisal process by making it simpler for supervisors (a) to quickly find the appropriate forms/questions to use for the appraisal, (b) to stay current in completing their appraisals by receiving automatic reminders from the system, (c) to electronically route the appraisals for the necessary approvals, and (d) to store and be able to find past appraisals. The simpler the appraisal process is for supervisors, the more likely they will be to complete their performance appraisals, and this could help increase the overall completion rate for appraisals in the institution. These institutions should consider implementing an automated software appraisal system to improve their process.

The high percentage (89.9%) of institutions that use performance appraisal for both reviewing past performance (evaluative) and improving the effectiveness of the employees (developmental) suggests that these institutions have found sufficient value and benefit in using it for both reasons. There were no responses in the study that gave reasons why performance appraisal should only be used for one purpose or the other. The implication is that the institutions that use it only for reviewing past performance or

for improving the effectiveness of their employees should consider using it for both purposes.

Almost all respondents (90.8%) said their appraisal system was set up on an annual cycle. However, several comments indicated there was considerable inconsistency in the application of the one-year cycle across various departments or even within the same department. Some departments or supervisors abided by the policy and others did not. This behavior can negatively impact the morale of employees when they see the appraisal process used inconsistently within their department or across multiple departments. This could seem unfair to some employees, particularly if their compensation is impacted by the result of, or lack of, a current performance appraisal. It also diminishes the perceived value of the entire appraisal process when it is inconsistently used within the organization because it suggests that the leadership of the institution does not really value the process. The implication is that institutions could do a better job enforcing the current annual appraisal process with all supervisors to ensure consistency throughout the institution.

When the respondents were asked if the results of performance appraisal were used to facilitate decisions concerning pay increases, promotions, and layoffs, 31.6% said they neither agreed nor disagreed with this statement. This is a high percentage given the respondents' responsibility over their respective institutions' Human Resources departments and appraisal processes, and it suggests that performance appraisal is not used for this purpose at these institutions. An additional 25.0% of the respondents said they Disagreed or Strongly Disagreed with this statement. Thus, up to 56.6% of the

respondents did not indicate performance appraisal was used to facilitate decisions concerning pay increases, promotions, and layoffs. The implication is that these institutions could increase the relevancy, usefulness, and importance of performance appraisal by using it as one factor in decisions concerning pay changes and job changes.

Another area of weakness revealed in this study was the lack of use of performance appraisal to determine individual and organizational training and development needs. Seventeen percent of the institutions did not use performance appraisal for this purpose, and an additional 18.4% of the respondents were not sure if it was used for this purpose. This appears to be another opportunity to improve the usefulness of performance appraisal as a management tool if an emphasis is placed on determining the training and development needs of the staff. Staff typically respond well to opportunities given them to improve their skills and future career opportunities, and performance appraisal could be a very helpful tool to accomplish this.

There were several other areas where some of the responding institutions in the study could potentially improve the benefits they received from performance appraisal. This includes using performance appraisal to provide legal support for personnel decisions, to confirm that good hiring decisions are being made, and to improve overall organizational performance. The responses to these statements that either disagreed with or did not know ranged from 18.4% to 59.2%.

This study found that 93.4% of the respondents thought the leadership of their institutions supported and encouraged the use of performance appraisal. Yet when asked if sufficient training was provided to supervisors to give effective performance appraisals,



55.2% said that the training was either not sufficient or there was no training given. In addition, in many institutions management did not follow up with the supervisor when the supervisor failed to complete an appraisal on time or at all, nor was there any negative impact on the appraisal of the supervisor. This suggests that leadership was not supporting and encouraging the use of performance appraisal in the institution. This notable lack of leadership support would be recognized by the supervisors and the staff, and it would be a negative influence on them concerning the importance and value of performance appraisal. The implication is that leadership has a strong influence over the perception of the value of the appraisal process at their institution, and the perceived value and benefit of performance appraisal could be strengthened if leadership provided the resources needed to do performance appraisal well. The leadership should lead by example, being consistent and timely in completing the appraisals for their immediate staff, and then requiring that their staff do the same for their employees. Without this top leadership support, the appraisal system will not be successful.

There was strong support (70.7%) in the study among the respondents that the performance appraisal process did not demand too much time and effort from supervisors. Similarly, there was strong support (77.3%) that performance appraisal did not interfere with the more constructive coaching relationship that should exist between a supervisor and his/her staff. There was also little support in the literature for the argument that performance appraisal demanded too much time and effort from supervisors, or that it interfered with the coaching relationship between supervisors and their staff. The findings of this study therefore supported the literature. The implication

is that institutions should not accept these two issues as reasons for not doing performance appraisal.

There was also strong support in the study for the statements that standards and ratings vary widely and sometimes unfairly from supervisor to supervisor, that the supervisor's personal values and bias can replace organizational standards in the evaluation process, and that the validity of the ratings is reduced by supervisory resistance to give the ratings, particularly negative ratings. These potential biases are noted in the literature (Bretz, Milkovich, & Read, 1992; Oberg, 1972), and they can be reduced or minimized by providing sufficient training for supervisors, and by allowing more time for the appraisal process. This is another argument supporting the need for and the value of providing regular and thorough training for the use of effective performance appraisal.

When asked if managers and staff provide input in the design, development, and choice of criteria used in the appraisal, only 45.4% said they agreed with this statement. For the remaining 54.6% of institutions that did not do this, it represents an opportunity for them to improve their appraisal system by soliciting input from their staff and managers, and to thereby increase the ownership of the process from these people. This would be an excellent way to increase the effectiveness of their appraisal system. Similar improvement appears to be achievable for 41.3% of the institutions if they would periodically review and change their appraisal systems to insure their effectiveness. Appraisal systems must be kept current to reflect and keep up with the changes occurring within the institutions and the changes that can occur in specific job responsibilities.

Finally, of the 90 respondents to the survey, only 42.7% indicated that their institution was satisfied or very satisfied with their performance appraisal system. The remaining respondents were either dissatisfied or uncertain about their appraisal system. So while most of the institutions in the study (84.4%) were using an appraisal system, only 42.7% were actually satisfied with it. The implication is that there is much room for improvement in the appraisal process for many of these institutions.

A brief summary of the aforementioned implications for practice are listed below:

1. Institutions that do not have a performance appraisal system should devote the necessary resources to implement such a system.
2. Institutions that do not have an automated appraisal system should consider implementing such a system to improve their appraisal process and to increase its ease of use.
3. Institutions should use their appraisal systems for both evaluative and developmental purposes.
4. Institutions should do a better job enforcing the current annual appraisal process to ensure consistency and timeliness of use by all supervisors throughout the institution.
5. Institutions could increase the relevancy, usefulness, and importance of performance appraisal by using it as a factor in decisions concerning pay changes and job changes.
6. Institutions should use performance appraisal to identify the training and development needs of their staff.

7. Institutions could increase the perceived value and benefit of performance appraisal by providing the resources needed to do performance appraisal well.
8. Institutions should not allow the excuses that performance appraisal demands too much time and effort from supervisors, or that it interferes with the coaching relationship between supervisors and their staff, as reasons not to do performance appraisal.
9. Institutions can reduce the impact of potential biases in the appraisal process by providing regular and thorough training for their supervisors.
10. Institutions can increase the success of their appraisal systems by soliciting more input into their appraisal systems from staff and managers, and by periodically reviewing and changing their appraisal systems to insure their effectiveness.

#### Implications for Future Research

A strength of this study was the very high response rate obtained from the questionnaire that was sent to the colleges and universities that are members of the CCCU. A total of 90 responses (83.3%) were received from a population of 108 institutions. The high response rate provided strong credibility for the responses from this population, and it indicated a high level of interest in the topic. A key finding of the study is that although there is very high use of performance appraisal (84.4%) for staff positions among the population studied, there are significant criticisms and challenges being faced by the responding institutions. This suggests that there are not sufficient

resources being provided to the appraisal process by most of the institutions to insure its overall success, which in turn suggests a lack of top leadership support for the process.

If the study were done again, questions would be added to seek more direct input from the respondents concerning how their current appraisal system could be improved. Oftentimes employees who are most closely involved in a process have the most insight into how improvements could be made. In the open-ended question, there were some responses that addressed this issue, but the study could have been more intentional in seeking out this information.

The study could have also been strengthened by asking additional open-ended questions where more in-depth explanations and understandings could have been obtained from the respondents. This may have brought greater clarity and understanding to some of the responses received in the study. Finally, a clear definition for the term “leadership” should have been provided since some respondents may have interpreted this term to mean their direct supervisor rather than the president of the institution.

Based on the research presented in this study, the following recommendations are made for future study:

1. It is recommended that this study be replicated with institutions from each of the four Carnegie classification types (research institutions, comprehensive colleges and universities, liberal arts colleges, and two-year colleges) to determine if there are differences between the CCCU institutions and other colleges and universities.

2. It is recommended that this study be expanded to include all religiously affiliated colleges and universities to determine if there are differences between CCCU institutions and all other religiously affiliated institutions.
3. It is recommended that research be completed concerning the timelines and performance appraisal forms used by each institution in the CCCU to determine if there is congruency among them concerning the specific types of questions asked, the format of the questions, and the issues addressed by the questions.
4. It is recommended that additional research be completed with each CCCU member institution to determine if, in addition to the annual performance appraisal meeting, other formal or informal planning meetings take place during the year for each staff member to supplement the appraisal process. This research would evaluate the purpose of the additional meetings, their structure, and their frequency.
5. It is recommended that research be completed to determine the specific types of performance appraisal training that are provided to supervisors by some institutions to determine which types of training are most effective for the success of performance appraisal systems.
6. It is recommended that this study be replicated with the employees and supervisors of the CCCU institutions to determine if their opinions and experiences with their appraisal system are consistent with those given by the Human Resource Directors.

7. It is recommended that research be completed to determine if there are perceived differences in the benefits and challenges of performance appraisal depending on the generation being evaluated (e.g. Generation X, Generation Y, and Boomers). It would be determined if one generation perceives more value from the appraisal process compared to another, or if the generational differences suggest varying approaches to how performance appraisal is carried out, such as diversity in the types of questions used in the appraisal process or in the process/structure for carrying out performance appraisal.
8. It is recommended that this study be replicated with the employees and supervisors of the CCCU institutions to determine if there are differences between various departments at the same institution.

## CASE STUDY REVISITED

David accepted the position of Dean of Student Affairs in his state's most renowned university a year ago after having spent the previous 20 years in another university in his state. The application process for this position had been quite competitive with several very qualified applicants, from both within and outside the university, having applied for the position. David had felt very fortunate to have received the job offer, and as a result he had experienced a certain sense of responsibility and pressure to perform well in this position.

Shortly after beginning his new position, David's supervisor had requested a meeting with him to discuss the expectations that his supervisor had for him. In the meeting, David had the opportunity to give input into the discussion of what his goals would be for the ensuing 12 months, and his supervisor had listened closely and with interest to his ideas. His supervisor had also helped him understand the institutional goals of the university and how David's position would help the university achieve its goals. David had left the meeting with a clear idea of what was expected of him over the next year and how he would be evaluated in his new position.

Now a year later, his supervisor had just met with him to review his performance over the past year. In this performance appraisal, they had discussed each specific goal that had been established a year ago, and what the results had been towards achieving the goals. Since David and his supervisor had periodic discussions over the past year about how he was doing in his position and the goals that were established, there were no surprises that came out in this annual appraisal. He left the meeting feeling very affirmed in his new position by his supervisor. He had a clear understanding of what his supervisor thought of his performance, as well as what the expectations were for the next 12 months. He was very encouraged and motivated to now begin his second year in this position.



APPENDIX A: CHRONOLOGY OF EMPLOYEE PERFORMANCE MANAGEMENT  
IN THE FEDERAL GOVERNMENT

A chronology of the major milestones in the evolution of employee performance management in the Federal Government is presented below.

<b>Year</b>	<b>Actions</b>
1883	<p style="text-align: center;"><b>Pendleton Act, or Civil Service Act</b></p> <p style="text-align: center;">Attempted to provide a merit system to end favoritism. Required promotions by merit competition, but no centralized appraisal system was established.</p>
1912	<p style="text-align: center;"><b>First Law on Appraisal</b></p> <p style="text-align: center;">An appropriations act directed the U.S. Civil Service Commission (now the U.S. Office of Personnel Management) to establish a uniform efficiency rating system for all agencies.</p>
1923	<p style="text-align: center;"><b>Classification Act of 1923</b></p> <p style="text-align: center;">Resulted in establishment of a graphic rating scale in 1924, which was used until 1935. Was effective, but unpopular. Supervisor marked along a scale for each service rendered.</p>
1935	<p style="text-align: center;"><b>Uniform Efficiency Rating System</b></p> <p style="text-align: center;">The Civil Service Commission established the Uniform Efficiency Rating System by regulation, which was used until 1950.</p> <p style="text-align: center;">Factors were grouped under the headings Quality of Performance, Productiveness, and Qualifications. There were five rating levels for each of the three categories, and also five summary rating levels.</p>
1940	<p style="text-align: center;"><b>Ramspeck Act</b></p> <p style="text-align: center;">Directed establishment of independent Boards of Review to decide rating appeals in each agency. Boards included the Civil Service Commission and employee representatives.</p>
1950	<p style="text-align: center;"><b>Performance Rating Act</b></p> <p style="text-align: center;">Purpose was to identify the best and weakest employees and to improve supervisor-employee relations. Required the establishment of appraisal systems within all agencies with prior approval by the Civil Service Commission.</p> <p style="text-align: center;">Established three adjective summary rating levels: Outstanding, Satisfactory, and Unsatisfactory. Employees could still appeal ratings, but now through a statutory board of three members, one from an agency, one selected by employees, and the Chairman of the Civil Service Commission.</p>
1954	<p style="text-align: center;"><b>Incentive Awards Act</b></p> <p style="text-align: center;">Authorized honorary recognition and cash payments for superior accomplishment, suggestions, inventions, special acts or services, or other personal efforts.</p>
1958	<p style="text-align: center;"><b>Government Employees' Training Act</b></p> <p style="text-align: center;">Provided for training to improve performance and to prepare for future advancement.</p>

1962	<p style="text-align: center;"><b>Salary Reform Act</b></p> <p>Required an acceptable level of competence determination for granting General Schedule within-grade increases.</p> <p>Provided for the denial of the within-grade increase when performance is below the acceptable level.</p> <p>Authorized an additional step increase for high quality performance.</p>
1978	<p style="text-align: center;"><b>Civil Service Reform Act</b></p> <p style="text-align: center;"><b>Agencies required to develop appraisal systems for all Federal employees.</b></p> <p>Office of Personnel Management approval of appraisal systems required.</p> <p>Appraisals must be based on job-related performance standards.</p> <p>Agencies must encourage employee participation in establishing performance standards.</p> <p>Appeal of appraisals outside an agency was eliminated.</p> <p>Results of the appraisal must be used as a basis for training, rewarding, reassigning, promoting, reducing in grade, retaining, and removing employees.</p> <p>Employees can be removed for unacceptable performance on one or more critical elements, but only after being provided an opportunity to demonstrate acceptable performance. The standard of proof was reduced from preponderance of the evidence to substantial evidence.</p> <p>Reductions in grade and removals are appealable to the Merit Systems Protection Board.</p> <p style="text-align: center;"><b>Established a separate performance appraisal system for Senior Executive Service employees.</b></p> <p>One or more fully successful rating levels, a minimally satisfactory level, and an unsatisfactory level required.</p> <p>Agency Performance Review Boards to make recommendations to appointing officials on final ratings required.</p> <p style="text-align: center;"><b>Established performance-related pay authorities.</b></p> <p>Provided for performance awards for career executives; at least a Fully Successful rating required, and recommendation of the Performance Review Board.</p> <p>Provided for Senior Executive Service Meritorious (career) executive awards (\$10,000 for sustained accomplishment over a period of years; limited to 5 percent of executives) and Distinguished (career) executives awards (\$20,000 for sustained extraordinary accomplishment, limited to 1% of executives).</p> <p>Merit Pay established for supervisors and management officials in Grades GS 13-15 with funding for merit increases limited to what would have been paid as within-grade increases, quality step increases, and half of comparability adjustments (employees were guaranteed half of comparability adjustments only).</p>
1984	<p style="text-align: center;"><b>Civil Service Retirement Spouse Equity Act</b></p> <p>Established a 5 percent minimum performance award for Senior Executive Service employees.</p> <p>Merit Pay System abolished and Performance Management and Recognition System (PMRS) established.</p> <p>PMRS Employees rated Fully Successful or higher guaranteed full comparability increases, with Minimally Successful getting half, and Unacceptable getting none.</p> <p>PMRS Employees guaranteed merit increases of specific amount based on their performance ratings and position in pay range for their grade level.</p> <p>Performance awards program for PMRS employees established, with a minimum funding level from .75 percent to 1.15 percent of estimated aggregate salaries over five years and a minimum performance award of 2 percent of employee's salary required for an Outstanding rating. Maximum award funding was set at 1.5 percent of estimated aggregate salaries.</p> <p>Performance appraisal revisions in PMRS include five summary rating levels required, no forced distributions of ratings allowed, and joint participation in setting standards required.</p>
1985	<p style="text-align: center;"><b>Final Performance Management and Recognition System appraisal and pay regulations issued.</b></p> <p>Implemented legal provisions regarding general increases, merit increases, and performance awards.</p> <p>Established procedures for determining merit increases and performance awards for unrateable employees.</p> <p>Described pay-setting procedures when employees move between pay systems.</p> <p>Established minimum appraisal periods and procedures for rating employees who are detailed to other</p>

	<p>positions. Required higher level approval of ratings and performance-based personnel actions.</p>
1986	<p><b>Final Performance Management System regulations issued.</b></p> <p>Appraisal regulations for General Schedule and Prevailing Rate employees and for SES employees issued, which paralleled Performance Management and Recognition System appraisal regulations of 1985.</p> <p><b>Regulatory pay-for-performance system established.</b></p> <p>Fully Successful rating required for within-grade increases. Outstanding rating required for quality step increases. Fully Successful rating required for career-ladder promotions. Performance award program required for General Schedule and Prevailing Rate employees.</p>
1989	<p><b>Legislation extends the Performance Management and Recognition System (PMRS).</b></p> <p>Revised merit increase amount for Fully Successful employees in the middle third of the pay range from one-third to one-half of a merit increase, to parallel step increases in the General Schedule. Set minimum performance awards funding at 1.15 percent of estimated aggregate salaries for duration of the extension. Allowed for the reassignment, removal, or reduction in grade of PMRS employees who did not attain a fully successful level of performance after being given an opportunity to do so.</p> <p><b>Revised Senior Executive Service appraisal regulations.</b></p> <p>Permitted three to five summary rating levels. Must include an Unsatisfactory, Minimally Satisfactory and Fully Successful level. Deleted requirement for rating period to end between June 30 and September 30.</p>
1991	<p><b>Legislation again extends the Performance Management and Recognition System.</b></p> <p>Allowed using a written statement of work objectives to establish performance requirements. Removed requirement for mandatory performance award for employees rated Outstanding and the accompanying 2 percent minimum award.</p> <p><b>Federal Employees Pay Comparability Act</b></p> <p>Provided specific legislative authority for payment of rating-based cash awards to General Schedule employees like those authorized under the Performance Management and Recognition System. Provided authority to grant time off as an incentive award.</p>
1992	<p><b>Revised regulations on summary rating levels for General Schedule and Prevailing Rate appraisal systems.</b></p> <p>Allowed summary ratings at 3, 4, or 5 levels but required agencies to include Unacceptable, Fully Successful, and Outstanding levels.</p>
1993	<p><b>Performance Management and Recognition System (PMRS) terminated.</b></p> <p>Provided for orderly termination of the PMRS and payout of merit increases and performance awards based on October 1993 ratings. Provided for phased conversion of employees not on a step rate back to step rates based on specified personnel changes. Retained authority to pay employees at non-step rates until changes occur to place all employees on a step</p>

	rate.
1995	<p align="center"><b>Performance management regulations revised.</b></p> <p>Further decentralized the performance management program to allow agencies to develop programs to meet their individual needs and cultures.  Established 8 permissible summary rating patterns allowing from two to five levels for summary ratings.  Combined all award authorities in one part of the regulations, 5 CFR 451.  Streamlined the appraisal system approval process.</p>
1997	<p align="center"><b>Revised regulations on reduction in force and performance management.</b></p> <p>Allowed flexible crediting between 12 and 20 additional years of service retention credit for ratings of record given under different summary level patterns.  Retained traditional 12-16-20 year crediting when all ratings of record being credited were given under a single summary level pattern.  Revised credit averaging to use actual ratings of record given without filling in the blanks with presumed fully successful.  Removed use of presumed fully successful ratings and replaced them with credit based on the modal rating when employee had no ratings of record.  Provided for immediate or delayed implementation at agency discretion to allow for education, partnership, and automated system revision efforts.</p>
1998	<p align="center"><b>Revised regulations on ratings of record.</b></p> <p>Codified long-standing Office of Personnel Management policy regarding ratings of record.  Described when a rating of record is considered final.  Prohibited retroactive, carryover, and assumed ratings of record.  Provided limited circumstances under which an agency can change a rating of record.</p>

**U.S. Office of Personnel Management** 1900 E Street NW, Washington, DC 20415 | (202) 606-1800 | TTY (202) 606-2532"

APPENDIX B: COPYRIGHT PERMISSION LETTERS

Copyright Permission Letter from John Wiley & Sons

**Flaniken, Forrest**

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**From:** Johnson, Bradley - Hoboken [bjohns@wiley.com]  
**Sent:** Wednesday, March 04, 2009 8:42 AM  
**To:** Flaniken, Forrest  
**Subject:** FW: Republication/Electronic Request Form  
**Attachments:** Brad Johnson - Hoboken.vcf

Dear Forrest Flaniken:

Please be advise permission is granted to reuse figure 2.1, pg. 22 and figure 2.2, pg. 40 from Winston/Improving Staffing Practices in Student Affairs/0787908517 in your forthcoming Thesis which will be published by University of Central Florida. Credit must appear on every copy using the material and must include the title; the author (s); and/or editor (s); Copyright (year and owner); and the statement "Reprinted with permission of Wiley-Liss, Inc. a subsidiary of John Wiley & Sons, Inc." Please Note: No rights are granted to use content that appears in the work with credit to another source.

Good luck with your thesis

Sincerely,

Brad Johnson, Permissions Assistant - John Wiley & Sons Inc. - 111 River St. - Hoboken, NJ 07030 - Mail Stop 4.02 - Ph: 201.748.6786 - Fax: 201.748.6008 - [bjohns@wiley.com](mailto:bjohns@wiley.com)

Visit our website <<http://www.wiley.com/go/permissions>> for permissions information

Copyright Permission from C.O. Longenecker

**From:** Longenecker, Clinton O. [mailto:CLongen@UTNet.UToledo.Edu]  
**Sent:** Friday, March 20, 2009 12:30 PM  
**To:** Flaniken, Forrest  
**Cc:** Fink, Laurence S.  
**Subject:** RE: Copyright permission

Forrest,  
Thanks for your inquiry. I co-own the rights with IM so accept this email as written permission to use this material my friend. Keep up the good work and remember that you can and will finish the "Big D"!! God bless you.

Clint

 <p><b>THE UNIVERSITY OF TOLEDO</b> 1872</p> <p><b>College of Business Administration</b> 2801 W Bancroft Toledo, OH 43606-3390</p>	<p><b>Clinton O. Longenecker, Ph. D.</b> Stranahan Professor of Leadership &amp; Organizational Excellence Ernst &amp; Young Entrepreneur of the Year 2004</p> <p><a href="mailto:clinton.longenecker@utoledo.edu">clinton.longenecker@utoledo.edu</a> Office Phone: 419.530.2368 Alt.:2366 Office Fax: 419.530.2365 <a href="http://homepages.utoledo.edu/clongen/">http://homepages.utoledo.edu/clongen/</a></p>
--	--



**From:** Flaniken, Forrest [mailto:Forrest\_Flaniken@wycliffe.org]  
**Sent:** Wednesday, March 18, 2009 4:43 PM  
**To:** Longenecker, Clinton O.  
**Subject:** Copyright permission

Dear Dr. Longenecker,

I am a doctoral student at the University of Central Florida and would like to use a figure from one of your articles in my dissertation. The article is Creating Effective Performance Appraisals in Industrial Management, 1999. Do you own the copyright? If not, could you direct me to who does?

Thank you!

**Forrest Flaniken**  
University of Central Florida



APPENDIX C: INSTITUTIONS THAT ARE MEMBERS OF THE COUNCIL FOR  
CHRISTIAN COLLEGES AND UNIVERSITIES

Members of the Council for Christian Colleges and Universities

<u>Campus Name</u>	<u>Location</u>
Abilene Christian University	Abilene, TX
Anderson University	Anderson, IN
Asbury College	Wilmore, KY
Azusa Pacific University	Azusa, CA
Belhaven College	Jackson, MS
Bethel College--IN	Mishawaka, IN
Bethel University	Saint Paul, MN
Biola University	La Mirada, CA
Bluefield College	Bluefield, VA
Bluffton University	Bluffton, OH
Bryan College	Dayton, TN
California Baptist University	Riverside, CA
Calvin College	Grand Rapids, MI
Campbellsville University	Campbellsville, KY
Carson-Newman College	Jefferson City, TN
Cedarville University	Cedarville, OH
College of the Ozarks	Point Lookout, MO
Colorado Christian University	Lakewood, CO
Corban College and Graduate School	Salem, OR
Cornerstone University	Grand Rapids, MI
Covenant College	Lookout Mountain, GA
Crichton College	Memphis, TN
Crown College	Saint Bonifacius, MN
Dallas Baptist University	Dallas, TX
Dordt College	Sioux Center, IA
East Texas Baptist University	Marshall, TX
Eastern Mennonite University	Harrisonburg, VA
Eastern Nazarene College	Quincy, MA
Eastern University	St Davids, PA
Erskine College	Due West, SC
Evangel University	Springfield, MO
Fresno Pacific University	Fresno, CA
Geneva College	Beaver Falls, PA
George Fox University	Newberg, OR
Gordon College	Wenham, MA
Goshen College	Goshen, IN
Grace College & Seminary	Winona Lake, IN
Greenville College	Greenville, IL
Hardin-Simmons University	Abilene, TX
Hope International University	Fullerton, CA
Houghton College	Houghton, NY

Houston Baptist University	Houston, TX
Howard Payne University	Brownwood, TX
Huntington University	Huntington, IN
Indiana Wesleyan University	Marion, IN
John Brown University	Siloam Springs, AR
Judson College--AL	Marion, AL
Judson University	Elgin, IL
Kentucky Christian University	Grayson, KY
King College	Bristol, TN
Lee University	Cleveland, TN
LeTourneau University	Longview, TX
Lipscomb University	Nashville, TN
Louisiana College	Pineville, LA
Malone University	Canton, OH
Master's College & Seminary, The	Santa Clarita, CA
Messiah College	Grantham, PA
MidAmerica Nazarene University	Olathe, KS
Milligan College	Johnson City, TN
Mississippi College	Clinton, MS
Missouri Baptist University	Saint Louis, MO
Montreat College	Montreat, NC
Mount Vernon Nazarene University	Mount Vernon, OH
North Greenville University	Tigerville, SC
North Park University	Chicago, IL
Northwest Christian University	Eugene, OR
Northwest Nazarene University	Nampa, ID
Northwest University	Kirkland, WA
Northwestern College--IA	Orange City, IA
Northwestern College--MN	Saint Paul, MN
Nyack College	Nyack, NY
Oklahoma Baptist University	Shawnee, OK
Oklahoma Christian University	Oklahoma City, OK
Oklahoma Wesleyan University	Bartlesville, OK
Olivet Nazarene University	Bourbonnais, IL
Oral Roberts University	Tulsa, OK
Palm Beach Atlantic University	West Palm Beach, FL
Point Loma Nazarene University	San Diego, CA
Roberts Wesleyan College	Rochester, NY
San Diego Christian College	El Cajon, CA
Seattle Pacific University	Seattle, WA
Shorter College	Rome, GA
Simpson University	Redding, CA
Southeastern University	Lakeland, FL
Southern Nazarene University	Bethany, OK

Southern Wesleyan University	Central, SC
Southwest Baptist University	Bolivar, MO
Spring Arbor University	Spring Arbor, MI
Sterling College	Sterling, KS
Tabor College	Hillsboro, KS
Taylor University	Upland, IN
Toccoa Falls College	Toccoa Falls, GA
Trevecca Nazarene University	Nashville, TN
Trinity Christian College	Palos Heights, IL
Trinity International University	Deerfield, IL
Union University	Jackson, TN
University Of Mary Hardin-Baylor	Belton, TX
University of Sioux Falls	Sioux Falls, SD
University Of The Southwest	Hobbs, NM
Vanguard Univ. of Southern California	Costa Mesa, CA
Warner Pacific College	Portland, OR
Warner University	Lake Wales, FL
Wayland Baptist University	Plainview, TX
Waynesburg University	Waynesburg, PA
Westmont College	Santa Barbara, CA
Wheaton College	Wheaton, IL
Whitworth University	Spokane, WA
Williams Baptist College	Walnut Ridge, AR

Source: Downloaded on March 25, 2009 from  
[http://www.cccu.org/members\\_and\\_affiliates](http://www.cccu.org/members_and_affiliates)

APPENDIX D: RELIGIOUS AFFILIATION OF THE MEMBERS OF THE COUNCIL  
FOR CHRISTIAN COLLEGES AND UNIVERSITIES

## Religious Affiliation of Members of the Council for Christian Colleges and Universities

1. American Baptist (3)
2. Assemblies of God Church (4)
3. Associate Reformed Presbyterian (1)
4. Baptist General Association of Virginia (5)
5. Christian Churches and Churches of Christ (7)
6. Christian Reformed Church (2)
7. Christian and Missionary Alliance, The (4)
8. Church of God, Anderson (3)
9. Church of God, Cleveland (1)
10. Church of Nazarene (8)
11. Evangelical Covenant Church (1)
12. Evangelical Free Church (2)
13. Fellowship of Grace Brethren Churches (1)
14. Free Methodist Church (4)
15. Friends (2)
16. General Conference Baptist (1)
17. Mennonite Church (5)
18. Missionary Church (1)
19. Non-Denominational (1)
20. Presbyterian Church (USA) (6)
21. Presbyterian Church in America (1)
22. Reformed Church in America (1)
23. Reformed Presbyterian of North America (1)
24. Southern Baptist (8)
25. United Brethren Church (1)
26. Wesleyan Church (4)

Source: Downloaded March 25, 2009 from [http://www.cccu.org/members\\_and\\_affiliates](http://www.cccu.org/members_and_affiliates)

APPENDIX E: EXAMPLES OF EMAILS SENT TO RECIPIENTS OF SURVEY  
QUESTIONNAIRE

[Name]                    [Letter 1 Prenotice Email]  
[Title]  
[School]

Dear [Name],

A few days from now you will receive an email request to fill out a brief online questionnaire for an important research project that will address the benefits and challenges of using performance appraisal for staff positions in Christian colleges and universities.

I am writing in advance because many people like to know ahead of time that they will be contacted. The study is an important one that will help me understand if Christian colleges and universities are using performance appraisal as a management tool and if so, help me compile a list of best practices as to what works well for the institutions and what does not work well.

Thank you for your time and consideration. It is only with the generous help of people like you that this research can be successful. The questionnaire should take 8 – 10 minutes.

Sincerely,

Forrest W. Flaniken  
Doctoral Candidate  
University of Central Florida



[Name] [Letter 2 Cover Letter Email]  
[Title]  
[School]

Dear [Name],

I am writing to ask your help in a study of the use of performance appraisal for staff positions in Christian colleges and universities in the U.S. The purpose of the study is to learn if these institutions use performance appraisal and to understand the benefits and challenges that are experienced during the process.

I am contacting each member of the Council for Christian Colleges and Universities to ask if they use performance appraisal for their staff and if so, to help me understand some of the specifics of their process.

Results from this survey will be used to develop a list of best practices that will be available to each institution in an effort to help it improve its appraisal process, to increase the benefits it gains from the process, and to therefore help the institution better accomplish its overall mission.

Your answers are completely confidential and will be released only as summaries in which no individual answers can be identified. When you complete the online questionnaire, your name will be deleted from the email list and never connected to your answers in any way. This survey is voluntary. However, you can help me very much by taking a few minutes to share your experiences and opinions about performance appraisal. If for some reason you prefer not to respond, please let me know by responding to this email.

Please click on the following link to begin the survey. It should take 8-10 minutes. [Link]

If you have any questions or comments about this study, I would be glad to talk with you. My direct number is 407-852-3636 and my email address is [forrest\\_flaniken@wycliffe.org](mailto:forrest_flaniken@wycliffe.org). If you would like a summary of the results of this research, please indicate your interest by replying to this email.

Thank you very much for helping with this important study.

Sincerely,

Forrest W. Flaniken  
Doctoral Candidate  
University of Central Florida

[Letter 3 Reminder email]

Dear [Name],

Last week an email questionnaire seeking your opinion on the use of performance appraisal for staff positions in your institution was sent to you [link].

Your name and school were selected as members of the Council for Christian Colleges and Universities.

If you have already completed and returned the online questionnaire, please accept my sincere thanks. If not, please do so today. I am especially grateful for your help because it is only by asking people like you to share your experiences that I can understand if and how performance appraisal is used and how it benefits the institutions that use it.

If you experience problems accessing the survey, please call me at 407-852-3636 or email me, and I will help address any problem you may have accessing the online questionnaire.

Thank you,

Forrest W. Flaniken  
Doctoral Candidate  
University of Central Florida

[Name]  
[Title]  
[School]

Letter 4 Reminder Request

Dear [Name],

About three weeks ago I emailed you a request to complete an online questionnaire that requested feedback concerning the use of performance appraisal in your institution. To the best of my knowledge, it has not yet been completed.

The comments of people who have already responded include a wide range of experiences concerning their use of a performance appraisal system, including both benefits and challenges. I think the results are going to be very useful to the institutions who want to understand how other similar schools use performance appraisal systems and how to improve their own system.

I am writing again because of the importance that your questionnaire has for helping to get accurate results. Although I sent requests to each member of the Council for Christian Colleges and Universities, it is only by hearing from nearly everyone that I can be sure that the results are truly representative.

If you feel that you should not have received this questionnaire, please let me know by responding to this email so that I can delete your name from the email list.

Your answers are completely confidential and will be released only as summaries in which no individual answers can be identified. When you complete the online questionnaire, your name will be deleted from the email list and never connected to your answers in any way. Protecting the confidentiality of people's answers is very important to me.

I hope that you will complete the online questionnaire soon [provide link], but if for any reason you prefer not to answer it, please let me know by replying to this email.

Sincerely,

Forrest W. Flaniken  
Doctoral Candidate  
University of Central Florida

P.S. If you have any questions, please feel to call me at 407-852-3636 or email me at [forrest\\_flaniken@wycliffe.org](mailto:forrest_flaniken@wycliffe.org).

[Name]  
[Title]  
[School]

Letter 5 Final Reminder Email

Dear [Name],

During the last two months I have sent you several emails about an important research study I am conducting concerning the use of performance appraisal in Christian colleges and universities.

Its purpose is to develop a list of best practices that will be shared with each institution in an effort to help them improve their performance appraisal process, to increase the benefits they gain from it, and to therefore help the institution better accomplish its overall mission.

The study is drawing to a close, and this is the last contact that will be made with the people to whom I have sent questionnaires.

I am sending this final contact [provide link] because of my concern that people who have not responded may have had different experiences than those who have. It will take 8-10 minutes to complete it. Hearing from everyone in this small sample helps assure that the survey results are as accurate as possible.

I also want to assure you that your response to this study is voluntary, and if you prefer not to respond that is fine. If you feel that I have made a mistake in contacting you for this study, please let me know by responding to this email. This would be very helpful.

Finally, I appreciate your willingness to consider my request as I conclude this effort to better understand the use of performance appraisal. Thank you very much.

Sincerely,

Forrest W. Flaniken  
Doctoral Candidate  
University of Central Florida

APPENDIX F: SURVEY OF USE OF PERFORMANCE APPRAISAL FOR STAFF  
POSITIONS

## Survey of Use of Performance Appraisal For Staff Positions

### START HERE

**1. Does your institution use a performance appraisal system for the evaluation or development of its staff positions?**

- Yes
- No

↳ If “no”, it is not necessary for you to complete the remainder of this questionnaire. Please check the box marked “no” and return the survey. Thank you.

**2. How long has your institution used a performance appraisal system?**

- Less than 1 year
- 1-3 years
- 4-6 years
- more than 6 years

**3. Which of the following best describes the type of performance appraisal system that your institution uses?**

- A manual system using either a word-processing program (e.g. Microsoft Word) or a paper system
- A software program written specifically to do performance appraisal

↳ If your answer was “A software program written to do performance appraisal”, please answer (i) below. Otherwise, please go to question 4.

**i. If your institution uses a software program written specifically for performance appraisal, was the program written in-house or purchased?**

- In-house
- Purchased Please indicate the name of the software \_\_\_\_\_

**4. In your institution, performance appraisal is used primarily to** (Please check one box)

- Review past performance
- Improve the effectiveness of the employees
- Both review past performance and improve the effectiveness of the employees

**5. How often do most employees receive a formal, written performance appraisal from their supervisors?**

- Once a month
- Once a quarter
- Once every 6 months
- Once a year
- Other (please specify) \_\_\_\_\_

**CONTINUE HERE**

*Please mark a box on each line with an X.*

**How are the results of your performance appraisal system used in your institution?**

	Strongly Agree	Agree	Neither Agree or Disagree	Disagree	Strongly Disagree
<b>6. To provide written feedback to employees about their performance</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>7. To facilitate decisions concerning pay increases, promotions, and layoffs</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>8. To encourage performance improvement</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. To set and measure goals</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>10. To determine individual and organizational training and development needs</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>11. To confirm that good hiring decisions are being made</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>12. To provide legal support for personnel decisions</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>13. To improve overall organizational performance</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**14. The use of performance appraisal is supported and encouraged by the leadership of your institution.**

- Strongly Agree
- Somewhat Agree
- Somewhat Disagree
- Strongly Disagree

**15. The amount of training provided supervisors in your institution to give effective performance appraisal is**

- More than sufficient
- Sufficient
- Not sufficient
- None

Please continue on the next page →
------------------------------------

**CONTINUE HERE**

When a supervisor does not complete a performance appraisal on time,

Yes	No
-----	----

16. The supervisor is notified by management and is asked to complete the review.

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

17. There is no action taken with the supervisor by management and some appraisals are never completed.

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

18. This will negatively impact the future performance appraisal of the supervisor.

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

*Please rate the following statements about your performance appraisal system by marking a box on each line with an X.*

Strongly Agree	Agree	Neither Agree or Disagree	Disagree	Strongly Disagree
----------------	-------	---------------------------	----------	-------------------

19. It demands too much time and effort from supervisors

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

20. Standards and ratings vary widely and sometimes unfairly from supervisor to supervisor

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

21. The supervisor's personal values and bias can replace organizational standards in the evaluation process

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

22. The validity of the ratings is reduced by supervisory resistance to give the ratings, particularly negative ratings

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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23. Negative feedback can demotivate an employee

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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24. Performance appraisal interferes with the more constructive coaching relationship that should exist between a supervisor and his/her staff

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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25. Managers and staff provide input in the design, development, and choice of criteria used in the appraisal

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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26. The performance appraisal system is periodically reviewed and changed to insure its effectiveness

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**CONTINUE HERE**

*Please indicate answers for 26-28 by marking the appropriate box with an X.*

Very satisfied	Satisfied	Neither satisfied or dissatisfied	Dissatisfied	Very Dissatisfied
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27. How satisfied are your institution's managers with your performance appraisal system?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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28. How satisfied are your institution's employees with your performance appraisal system?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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29. The overall satisfaction level of your institution with its performance appraisal system is:

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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30. How many total undergraduate and graduate students does your institution have?

- Less than 1,000 students
- Between 1,000 and 2,000 students
- Between 2,000 and 3,000 students
- More than 3,000 students

31. How many staff employees does your institution have?

- Less than 200
- Between 200 and 600
- Between 600 and 1000
- More than 1000

32. Please indicate your gender:

- Male
- Female

33. Please indicate how many years you have been in your present position:

\_\_\_\_\_ years

34. If you would like to comment or elaborate on any of the issues addressed in this questionnaire that will complement this research, please do so below.

**Thank you for completing the questionnaire. Please return it to me now.**

APPENDIX G: IRB APPROVAL LETTER



University of Central Florida Institutional Review Board  
Office of Research & Commercialization  
12201 Research Parkway, Suite 501  
Orlando, Florida 32826-3246  
Telephone: 407-823-2901, 407-882-2012 or 407-882-2276  
[www.research.ucf.edu/compliance/irb.html](http://www.research.ucf.edu/compliance/irb.html)

### Notice of Exempt Review Status

From: UCF Institutional Review Board  
FWA00000351, Exp. 10/8/11, IRB00001138  
To: Forrest W. Flaniken  
Date: May 22, 2009  
IRB Number: SBE-09-06278

Study Title: PERFORMANCE APPRAISAL SYSTEMS IN HIGHER EDUCATION:AN EXPLORATION AT CHRISTIAN INSTITUTIONS

Dear Researcher:

Your research protocol was reviewed by the IRB Chair on 5/22/2009. Per federal regulations, 45 CFR 46.101, your study has been determined to be **minimal risk for human subjects and exempt** from 45 CFR 46 federal regulations and further IRB review or renewal unless you later wish to add the use of identifiers or change the protocol procedures in a way that might increase risk to participants. Before making any changes to your study, call the IRB office to discuss the changes. **A change which incorporates the use of identifiers may mean the study is no longer exempt, thus requiring the submission of a new application to change the classification to expedited if the risk is still minimal.** Please submit the Termination/Final Report form when the study has been completed. All forms may be completed and submitted online at <https://iris.research.ucf.edu>.

The category for which exempt status has been determined for this protocol is as follows:

2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey or interview procedures, or the observation of public behavior, so long as confidentiality is maintained.
  - (i) Information obtained is recorded in such a manner that the subject cannot be identified, directly or through identifiers linked to the subject, **and/or**
  - (ii) Subject's responses, if known outside the research would not reasonably place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing or employability or reputation.

All data, which may include signed consent form documents, must be retained in a locked file cabinet for a minimum of three years (six if HIPAA applies) past the completion of this research. Any links to the identification of participants should be maintained on a password-protected computer if electronic information is used. Additional requirements may be imposed by your funding agency, your department, or other entities. Access to data is limited to authorized individuals listed as key study personnel.

On behalf of Tracy Dietz, Ph.D., UCF IRB Chair, this letter is signed by:

Signature applied by Janice Turchin on 05/22/2009 01:34:35 PM EDT

IRB Coordinator



University of Central Florida Institutional Review Board  
Office of Research & Commercialization  
12201 Research Parkway, Suite 501  
Orlando, Florida 32826-3246  
Telephone: 407-823-2901, 407-882-2012 or 407-882-2276  
[www.research.ucf.edu/compliance/irb.html](http://www.research.ucf.edu/compliance/irb.html)

### Notice of Expedited Review and Approval of Requested Addendum/Modification Changes

From: UCF Institutional Review Board  
FWA00000351, Exp. 10/8/11, IRB00001138

To: Forrest W. Flaniken

Date: June 12, 2009

IRB Number: SBE-09-06278

Study Title: PERFORMANCE APPRAISAL SYSTEMS IN HIGHER EDUCATION: AN EXPLORATION OF CHRISTIAN INSTITUTIONS

Dear Researcher:

Your requested addendum/modification changes to your study noted above which were submitted to the IRB on 06/11/2009 were approved by **expedited** review on 6/12/2009. Your request for minor change to study title and survey have been approved.

Per federal regulations, 45 CFR 46.110, the expeditable modifications were determined to be minor changes in previously approved research during the period for which approval was authorized.

Use of the approved, stamped consent document(s) is required. The new form supersedes all previous versions, which are now invalid for further use. Only approved investigators (or other approved key study personnel) may solicit consent for research participation. Subjects or their representatives must receive a copy of the consent form(s).

This addendum approval does NOT extend the IRB approval period or replace the Continuing Review form for renewal of the study.

On behalf of Tracy Dietz, Ph.D., IRB Chair, this letter is signed by:

Signature applied by Joanne Muratori on 06/12/2009 09:54:46 AM EDT

A handwritten signature in cursive script that reads "Joanne Muratori".

IRB Coordinator

Internal IRB Submission Reference Number: 006246

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