PERFORMANCE APPRAISAL IN HIGHER EDUCATION

Thesis submitted for the degree of
Doctor of Education
at the University of Leicester

by

Silva Krikor Karkoulian
Department of Education
University of Leicester

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Abstract

The proper implementation of an appraisal system in an educational institution could enhance the growth and development of its faculty members, which will positively reflect on the whole institution. This study aims at laying the ground for a better appraisal practice at the Lebanese American University (LAU). The study also attempts to identify trends and areas for further development, and to provide consolidated practical advice for universities in Lebanon. 80 faculty members filled semi-structured questionnaires at the Lebanese American University. Furthermore, 40 faculty members were interviewed using purposive sampling. The response rate was low (36.86%), for 80 out of the 217 responded to the distributed questionnaire. The interviews with faculty members acknowledged the importance of mentoring and professional development at LAU. The results showed that no formal appraisal scheme was implemented at LAU. The majority of the respondents acknowledged that 360-degree appraisal is the most comprehensive appraisal practice. Based on the literature review and the suggestions of interviewed faculty members, a communication model for the performance appraisal scheme was developed to be further tested and adopted by the university, if it yielded satisfactory results. The researcher finally recommended the formal adoption of a performance appraisal process at LAU.

Dedications

This work is dedicated to my parents who always offered me opportunity of choice and incentives to pursue higher levels of learning.

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Glossary Of Terms

A	Agree
AJCW	American Junior College for Women
AUB	American University of Beirut
BCW	Beirut College for Women
CVCP	Committee of Vice Chancellor Principals
D	Disagree
ERIC	Educational Resources Information Center
HRM	Human Resource Management
LAU	Lebanese American University
MBO	Management by Objectives
SA	Strongly Agree
SD	Strongly Disagree
SPSS	Statistical Package for Social Sciences
U	Undecided
UCS	University of California Santa Cruz
UK	United Kingdom
USA	United States of America
UMI	University of Michigan Index

Chapter One

Introduction

"A careful, capable, and unbiased supervisor can produce accurate ratings and meaningful performance feedback with even the crudest measuring instrument"
(Gomez-Mejia, et al., 1995, p.267)

Introduction

Over the past decades, performance appraisal has become such a commonplace in organisational life that virtually every company has an appraisal system. Performance appraisal is becoming a highly interesting and provocative topic in management. Up to now researchers and practitioners have been writing emphatically on the performance appraisal issue. The ever-growing emphasis on performance appraisal has been attributed to the fact that it seems impossible for supervisors or managers to effectively manage any organisation without the adequate information on how people are performing, and how they meet their responsibilities. Such information is necessary for critical management functions like maintaining control of current operations and planning for the future, making decisions about compensations and promotions.

The increasing demand for greater accountability by higher educational institutions has led to a growing emphasis on performance appraisal for academic staff. Staff appraisal has been considered as a highly important issue that should be effectively embraced by academic professionals as an essential aspect of their work. As well as understanding the effects of performance appraisal and measurement institutions also need to have an understanding of how to design more effective systems for performance evaluation and incentive compensation. Managers are measuring, evaluating, compensating, designing and changing their systems constantly. The reason is that wrong appraisal schemes can lead to inaccurate performance appraisals and therefore to low motivation,

commitment, and loyalty by staff (Kreitner and Kinicki, 1998; Bruns, 1992). Reid, Barrington and Kenney (1992) confirm that lack of commitment and unclear aims are the main reasons why "certain" appraisal schemes fail to realize hopes.

Objectives

This study investigated the existence of a formal appraisal scheme at LAU and examined whether or not it differed from appraisal schemes at educational institutions and large commercial organizations. A second objective was to explore faculty members' views and past experiences regarding the current system and their possible suggestions and recommendations for introducing a regular and systematic appraisal scheme. A third objective was finding or agreeing on a procedure that would ensure that faculty development would be the key purpose of any appraisal undertaken. Accordingly, the primary aim of this thesis is on performance appraisal as a process of helping other learn and develop at work through participation and collaboration in an atmosphere of mutual respect and understanding.

Need for the Study

The need for this study stems from the dissatisfaction of the researcher, being a faculty member at LAU, with the current appraisal system. Thus, the researcher was interested in exploring other faculty members' views regarding the current system and their possible suggestions for a new appraisal scheme. In the light of this, the researcher was interested in finding out what systems of appraisal participants in LAU might prefer to have implemented and how successfully such systems might work. This study is considered a contributory research to the field of performance appraisal in higher educational institutions in Lebanon. Due to the lack of relevant literature on performance appraisal in higher educational institutions in Lebanon, the researcher based her references on previous research conducted mostly in the UK (United Kingdom) and in the USA (United States of America). Middlewood (1997, p.171) pointed out "appraisal of teachers and lecturers is well established in schools, colleges and universities in the UK, USA, Canada, and Australia".

This project puts forward the case that appraisal, if properly implemented, will become an asset when responding to the faculty members as it should improve their growth and development. This will reflect positively on an institution implementing such forms of appraisal since it is the staff that makes the institution and not the other way around.

Key Questions

The identified key questions generally explored how faculty members perceive the performance appraisal at their institution. The five key questions were designed as follows.

- **Question One:** How does the appraisal system work in LAU and how does it affect faculty members' promotion and motivation?
- **Question Two:** What is the role of the departments' heads in appraisal and what is their relationship with the present faculty members?
- **Question Three:** In what ways did faculty members' think the existing appraisal system could be improved?
- **Question Four:** How might professional development be used as a tool for empowerment, growth and promotion?
- **Question Five:** How might faculty members' involvement in decision making and mentoring help promote their professional development?

Lebanese Culture

The Arab culture in general terms is characterized as heterogeneous. Arab countries differ widely with regard to their cultural attributes such as ethnicity, sectarian, tribal, local, and regional. As for Lebanon, it is classified as belonging to the group of Arab countries that are close to heterogeneity for being more of a mosaic in structure and social composition (Barakat, 1993). In the Lebanese culture and society educators have power and prestige and are highly respected by Lebanese students and their parents (Kibbi, 1995). The culture is influenced by religion and family values in quite different ways than other cultures. The teacher, in Lebanon, is portrayed as almost a prophet, a

symbol of honor among Islam and profound in Christianity. Education is culturally admired and considered as the path that leads to better lives and social prestige thus all students are encouraged to pursue learning to the maximum of their abilities. Furthermore, the Lebanese formal and serious educational atmosphere motivates the youth to pursue higher education and achievement (Kibbi, 1995).

Scope of the Study

It was originally planned to survey 200 faculty members on the basis of convenience or snowball sampling from four universities. To gather information, questionnaires were distributed and interviews were carried out. Unfortunately the response rate was very low 5%, for only 10 out of the 200 chose to participate. The researcher was then forced to adapt a new plan, she decided to solely select LAU as the scope of her study. The new plan entailed first, conducting semi-structured interviews with faculty members and second, distributing the same questionnaire, which was previously launched to the four universities, to all teaching staff members at LAU Beirut (March 1999). The researcher distributed 217 questionnaires among LAU faculty members, out of which 80 questionnaires were received. The following constituted 36.86% of the LAU chosen sample. Moreover, the researcher selected 40 respondents out of the original 80, with whom to conduct the semi-structured interview. Therefore, the scale of the study was relatively small, focusing only on LAU as the sole researched institution (Chapter 3).

Site of The Study: Context and Background

LAU is a multi-campus career-oriented institution, which prepares students for responsible living, fully aware of the rich heritage and multiple needs of their respective communities. The organisation's hierarchy chart is included in Appendix F. LAU is a private, nonsectarian, independent university similar in administration and programs to the American universities. It offers a wide range of undergraduate and graduate programs with English as the language of instruction. The University's goal is to serve the educational needs of Lebanon and the Middle East by being a community that is intellectually stimulating and responsive to the dynamics of its environment. In

the pursuit of this goal, the University seeks to serve men and women from Lebanon, the Middle East and other countries by providing equal opportunities for all to acquire a proficiency in their chosen fields and a sense of professional ethics, without regard to nationality, race, or religion in an international environment (LAU Catalogue 1999). The setting of clear organisational objectives ultimately aids the University's achievement of its mission. The University administers an American-type curriculum modified to local needs, which meets the standards of the U.S. chartering agency.

The university's early days in 1835 find a reminder in an engraved column in Beirut's city center: "Site of the first edifice built as a school for girls in the Turkish Empire." The modest beginnings spawned the American School for Girls. In 1924 a two-year program was added to the high school, providing a junior college curriculum. In 1927 the American Junior College for Women (AJCW) became a separate institution. During 1948-49 the AJCW program was expanded into a university-level institution under the name of Beirut College for Women (BCW). During that year, it was granted a provisional charter by the Board of Regents of the University of the State of New York. In 1955 the Board of Regents granted the College an absolute charter with all its rights and privileges, including the authority to hand out BA, BS, AA, and AAS degrees. In 1970 the Lebanese Government officially recognized BCW's BA and BS degrees as equivalent to the national License. Having accepted men into some AA programs, the college changed its name to Beirut University College (BUC) in 1973. According to the Board's decision, BUC became a University in October 1992. In 1994, the Board of Regents in New York approved BUC's request to change to the Lebanese American University (LAU), reflecting further growth and the addition of several professional schools. Interestingly, following the year 1994 the university witnessed a period of rapid growth, which was characterized by an increase in the student enrolment and faculty members.

Currently, LAU Beirut consists of the School of Arts and Sciences and the School of Business (see Appendix F). LAU Byblos consists of the School of Arts and Science, the School of Business, the School of Engineering and Architecture, and the School of Pharmacy. And LAU Sidon consists of no Schools, it is an extension of LAU Beirut.

During the academic year 1999-2000, 3118 students registered at the LAU Beirut campus. The following students were distributed between the School of Business and the School of Arts and Sciences. The total number of faculty members then was 217 (Spring 1999, Beirut Campus). The Byblos campus had 1662 students and 137 faculty members, out of whom 72 were full timers and 65 were part timers. The Sidon campus had 40 students and 7 faculty members, out of whom 5 were full timers and 2 are part timers.

The faculty members at LAU, Beirut, Byblos, and Sidon, are appointed on either a full time basis or on a part time basis. Full time faculty members are appointed for a period of one academic year, while the part time faculty members are appointed for one academic semester. Full time faculty members include the tenure faculty who are appointed for a period of three consecutive academic years.

The conditions of service for academic staff at LAU entail:

- A certificate of health based on a comprehensive physical examination by a Physician, subject to a verification by a physician designated by the University.
- A complete transcript of the undergraduate and graduate education.
- A complete record of work experience and a valid work permit or identity card.

The Full time members' obligations to the university entail:

- Teaching duty of 12 to 14 credits per academic semester, which is the equivalent of 4 courses with each course holding a 3-credit load. The faculty members teaching Intensive English courses hold a teaching duty of 14 credits per academic semester, while other faculty members only hold a teaching duty of 12 credits per academic semester.
- Committee duty, academic advising and/or administrative tasks.
- Professional development, training and research activities.

At the Lebanese American University, in the School Business and in the School of Arts and Sciences, academic staff members are appraised by the Chairperson, who is in turn appraised by the Dean. The Dean is then appraised by the Vice President of Academic Affairs.

In the evaluation of its faculty members LAU adopts different appraisal techniques. The School of Business applies the immediate supervisor appraisal, which is administered by the Chairperson of the School of Business. The bases for the immediate supervisor appraisal are three factors.

- The completion of a specific number of hours per week. The required hours are allocated between class lessons, student advising, registration, and faculty meetings.
- The student enrolment in the given class is considered to be an important criterion in the evaluation process.
- The number of publications achieved by the appraised faculty member.

The School of Arts and Sciences applies both the immediate supervisor appraisal in addition to the student evaluation method. The immediate supervisor appraisal at the School of Arts and Sciences follows the same process as the School of Business.
The student evaluation method (see Appendix G) and the Immediate supervisor appraisal are administered at the School of Arts and Sciences to new part time faculty members, the remaining faculty, who include full timers and old part timers are evaluated on the bases of the immediate supervisor appraisal only. The student evaluation method entails two steps.

- The filling up of questionnaire forms by students, the questionnaire is given in class during class hours. The questionnaires are administered during the absence of the teacher to ensure the student comfort and confidentiality. .
- The evaluation forms are then submitted, reviewed, and evaluated by the committee on a yearly basis.

In the case of full timers, the School of Business and the School of Arts and Sciences do not base the renewal of the faculty contract on the results of the appraisal. The appraisal results only affect the increments the faculty receives on their monthly pay. On the other hand, in case of part timers, the School of Business and the School of Arts and Sciences use the appraisal results as a significant indicator on the renewal of the contract.

The Shape of the Thesis

Chapter One introduces the aim and importance of this research to higher educational institutions, specifically LAU, for exploring the current appraisal system and suggesting a new effective appraisal scheme. It also presents an overview of the University and its mission statement. The Lebanese culture is briefly discussed to see how educators are perceived from several heterogeneous groups who in general respect the educator because education is considered a path for better prestigious lives.

Chapter Two provides an overview of the literature relating to performance appraisal with particular references to educational institutions and big organisations. It also discusses the aims of appraisal and the advantages and disadvantages of different appraisal systems. It covers Human Resource Management, mentoring and concentrates on professional development, and professional learning through collaboration processes. In addition to exploring the topics of development, the researcher explores 360 degree feedback: how it works and how it can be integrated into the appraisal and development process. The chapter also sheds light on using computer-generated appraisals.

Chapter Three discusses the methodology used to obtain information, the sample size of the questionnaire –the positivist part of the study- and the semi-structured interview-the qualitative part of the study, and the data interpretation. This chapter reviews the complementary strengths and weaknesses of the qualitative and the positivist researches and the integration of these methodologies. The researcher also discusses the ethical considerations for conducting the study. Piloting of both the interview schedule and the questionnaire is conducted to strengthen the validity of the study as discussed in detail. The chapter also discusses the factor analysis conducted via SPSS (Statistical Package for Social Sciences) to find out the dependent variables that will be used for conducting the regression analysis.

Chapter Four provides statistical description of the studied sample including Demographic and personal information, distribution of the participants among the LAU Schools and their distribution according to their years of experience. This chapter also analyzes the responses collected from the semi-structured interviews and the questionnaire. The responses analyzed in this chapter are directly related to the existing performance appraisal form at LAU. The following selected responses include: Purpose of Performance Appraisal in Higher Education; Satisfaction with the Current System; Methods Applied in Appraising Academic Staff; Communication; Carrying Out the Appraisal Interviews; Performance Appraisal and Promotion; Performance Appraisal

and Motivation; When are Rewards Given; the Comparison of LAU Appraisal with Other Universities; Feedback; and finally Collaboration and Professional Development Among the Faculty Members. For each of the above sections, the results of the questionnaire sample or/and the interview sample are reported and scrutinized.

Chapter Five provides statistical analysis of the responses collected from the semi-structured interviews and the questionnaire. The responses analyzed in this chapter are directly related to the potential improvements in the performance appraisal form at LAU. The following selected responses include: Improving the Appraisal System; Who Should Carry out the Appraisal Process; 360 Degree Feedback and finally Mentoring. For each of the above sections, the results of the questionnaire sample or/and the interview sample are reported and scrutinized.

Chapter Six discusses the results in chapter four in the context of existing literature reviewed earlier in chapter two. The results discussed in this chapter are directly related to the existing performance appraisal form at LAU, which include: Purpose of Performance Appraisal in Higher Education; Satisfaction with the Current System; Methods Applied in Appraising Academic Staff; Communication; Carrying Out the Appraisal Interviews; Performance Appraisal and Promotion; Performance Appraisal and Motivation; When are Rewards Given; the Comparison of LAU Appraisal with Other Universities; Feedback; and finally Collaboration and Professional Development Among the Faculty Members.

Chapter Seven discusses the results in chapter five in the context of existing literature reviewed earlier in chapter two. The results discussed in this chapter are directly related to the potential improvements in the performance appraisal form at LAU. The selected results include: Improving the Appraisal System; Who Should Carry out the Appraisal Process; 360 Degree Feedback and finally Mentoring. For each of the above sections, the results of the questionnaire sample or/and the interview sample are reported and scrutinized.

Chapter Eight contains of the conclusion to the study and the recommendations for future research. This chapter also sheds light on the limitations of the study, basically the relatively small sample size. Thus, it is recommended to conduct further research and to explore in more detail the appraisal schemes at different universities in Lebanon. The chapter entails a discussion of challenges to future research and tests the effectiveness of implementing the suggested new appraisal scheme. Furthermore, the chapter offers recommendations for a revised scheme, which may be more effective than the one currently implemented and it explores the advisability of providing a new appraisal system i.e. 360 degree. Finally, it wraps up with a portion on how to make an existing system work.

Chapter Two

Literature Review

Introduction

This chapter reviews the literature on appraisal, with specific references to higher educational institutions and large organisations. The researcher defined performance appraisal as a formally set, continuing, and systematic evaluation, which operates as a process for motivating and aiding individuals in learning and developing professionally through emphasis on participation, collaboration, coaching, and mentoring. In turn, performance appraisal evaluates how well individuals perform in their duties and responsibilities, it provides an assessment of the individual's needs and defines the possible potential for further development. The results of the evaluation can be used as either a process of control or a means of empowerment, or both. The purposes of appraisal relate to improving individual performance and to greater organisational effectiveness. Thus, to the researcher, the ultimate goal of performance appraisal is achieving staff development, professional development and organisational development.

The researcher's reliance on references in the field of higher educational institutions and large organizations in the UK, USA, and Australia are due to the lack of relevant literature on performance appraisal in Lebanon. According to Zikmund (1994), generalizing and transferring results can be dangerous, since most situations and cultures are atypical. However, even if situations are not directly comparable, a number of insights can be gained. Moreover, according to Hantrais (1996), cross-national comparisons serve as a method to better achieve understanding of the different societies, their structures and their institutions.

This chapter discusses some aspects of Human Resource Management - the design of formal systems within an organisation to ensure effectiveness - and strategies to effectively manage human resources. A section of this chapter is devoted to the discussion of performance management, whose principle phases are also explored as essential tools available to managers for managing as well as developing employees performance. A useful approach, which may provide a coherent structure for the management of performance and promote reconciliation of both organisational and individual priorities, is suggested by the framework for management by objectives (MBO) (Robbins, 2001). The study discusses the aims of performance appraisal and explores different approaches to appraisal schemes, their advantages and disadvantages. The chapter reviews the means of improving performance like mentoring which involves a partnership between an experienced and a less experienced person with the aim to provide support, guidance and feedback. It is aimed at professional development, which is considered an asset by various appraisal methods. One of the most fruitful strategies for improving faculty members development involves collaboration, which basically means working together or as part of a team to get a final goal and this should help identify staff developmental needs. This research will center on LAU and compare and contrast the different aspects of appraisal that are used in this institution.

Academic work can be defined as that which is performed by academic professionals. This work includes factors such as skill based and theoretical knowledge; standards of training, accreditation, and professional codes of conduct (Hort, 1997). Of all the elements that "profession" defines, the most important elements are the testing of members' competence; their accountability for performance and the assessment and evaluation of performance standards (Hort, 1997). The performance appraisal of academic staff is an important issue that should be embraced by academic professionals as an essential aspect of their work. However, if performance is used as the execution of any skillful process, public or private, then it is clear that all professional practices consist of some form of performance skill. Practitioners tend to be evaluated by their

results, the achievement of desirable lawyers is classed as 'good' when they win cases, protect clients from legal dangers, or write agreements that stand the test of time. Architects are called 'good' when they make 'good' buildings; 'good' physicians, when they produce accurate diagnoses and effective treatments. People focus on performance in this broader sense only when they take a detached esthetic view of practice, admiring a physician's elegant clinical detective work. Faculty members are classed as good when he or she is well liked by students and colleagues and provides a high quality of service. It is in this manner of these professionals' performance that their distinctive knowing-in-action resides (Schön, 1983).

Managing Human Resources

According to Bush and Middlewood (1997), people are the most important organisational resource. In the educational field, the focus on people is particularly significant for education provides a managerial challenge. Education is targeted at the development of human potential, moreover the development of a climate aimed at effective learning and teaching cannot be achieved without taking into consideration the sensitive management of people working in the schools and colleges (Bush and Middlewood, 1997). HRM (Human Resource Management) is of critical importance in educational management because educational organisations are service organisation providing a service to their community, to parents, and to students. Quality of service depends directly on the capability, commitment, and motivation of people who provide it. The human resources available to educational organisations thereby constitute both their most valuable asset and their greatest management challenge (O'Neill, 1994a). The idea that organisations compete through people highlights the fact that success increasingly depends on the ability of an organisation to manage human capital (Sherman et al., 1998). HRM deals with the design of formal systems to ensure the effective and efficient use of human talent to accomplish the organisational goals. The strategic role of HRM emphasizes that the people in an organisation are the valuable resources representing a significant investment of organisational efforts. These human resources can be a source of competitive strength if managed effectively (Mathis and

Jackson, 1997). Although other resources contribute to creating organisational competence, employees and work teams are the basic carriers of the firm's competence (Nordhaug, 1994). In the administrative sciences, the individual employees or members have traditionally been conceived as the basic building blocks in firms and other organisations, for they encompass a number of different elements that make them unique resources to the organisation. Employee competence, consisting of individual knowledge, skills, and aptitudes is the more basic unit of analysis than are employees, for, it is not the stock of human bodies that is interesting but the stock of properties embodied in these employees (Nordhaug, 1994). The basic assumption underlying human resource management is that it is essentially a strategically driven activity. To achieve strategic integration, organisations must have the ability to integrate HRM issues into the organisation's strategic plans in a coherent manner. In effect, HRM can contribute to the overall success of the organisation and is therefore concerned with shaping and delivering corporate strategies (Guest, 1987).

HRM is about the improvement of performance or productivity through the effective use of human resources; always acknowledging that humans in an organisation are the most important part of getting things done. They are a resource rather than an expense and need to be managed to optimize both their own and institutional performance and value (Beardwell and Holden, 1994; Riches, 1997). It may be common among human resource professionals that human capital- the traits such as intelligence and energy that people bring to a job, their ability to learn (aptitude, creativity, etc.), and their motivation to share information and knowledge (team spirit and goal orientation)- is any organisation's most valuable resource (Fit-enz, undated). "No one gains from *ad hoc* approach to managing people; to ignore them, to treat them as pawns on an institutional chess board is neither ethical nor liberal nor any assistance towards performance" (Riches, 1997, p.20). Riches and Morgan (1989) emphasized that human resources differ from other types of resources in the manner of their deployment and development. People's performance depends not so much on their innate ability as on the extent to which the organisation can enable them to perform at an optimum level

(O'Neill, 1994a). "No organisation can depend on genius; the supply is always scarce and unreliable. It is the test of an organisation to make ordinary people perform better than they seem capable of, to bring out whatever strength there is in its members, and to use each person's strength to help all the other members perform" (Drucker, 1988, p.361).

Guest (1987) - based on the argument of Alpander (1982) and Tichy et al. (1982) - and Storey (1996) share the view that human resources must become an integral component of the strategic planning process of any business. Alpander (1982) and Tichy et al. (1982), use strategy as the starting point for their analysis of human resource management. Guest (1987) argued that in many cases, human resource planning is not an integral part of corporate strategic planning, but rather flows from it. Because human resources are the most variable, and the least easy to understand and control of all management resources, effective utilization of human resource is likely to give organisations a significant competitive advantage. Therefore, the human resource dimension must be fully integrated into the strategic planning process (Guest, 1987).

For an educational institution the significant challenge in the area of HRM is to ensure that the relationships which characterize the management of faculty members and staff reflect, in both policy and practice, the underlying values of the institution (Drucker, 1988). According to Sherman et al. (1998), to build human capital in organisations, managers must begin developing strategies to ensure superior knowledge, skills, and experience within the workforce. Tichy et al. (1982) argue that policies on selection, rewards, employee relations, etc. must complement each other and help towards the achievement of strategic objectives. If human resource policies cohere, if managers have internalized the importance of human resources, and if employees identify with the company, the company's strategic plans are likely to be more successfully implemented. As well, there will be greater willingness to accept and adopt both the changes and the unanticipated pressures at all levels of the organisation and the external environment. Guest (1987) argued that an adaptive organisation requires certain

structural properties, which are both means and ends of human resource policy goals. Therefore, the organisation must avoid rigid, hierarchical bureaucratic structures and try to build on organic structures.

Effective HRM relies on the ability of managers to empower, motivate and retain high quality staff within the institution. The challenge is to balance expectations of high performance with a concern for individual welfare and development. Optimum levels of staff performance are contingent upon effective management (O'Neill, 1994a). The upsurge interest in human resource management has been paralleled by an enhanced focus on strategies or tools available to managers mainly selection, induction, mentoring, appraisal, and development. The following strategies or tools are the principal phases of performance management. Educational institutions are faced with opportunity choices which promote a high degree of self-determination in the training, development and performance management of faculty members (O'Neill, 1994a). According to Riches (1997), HRM celebrates professionalism, argues that accountability provides room for participative arrangements in management, emphasizes that leadership is a collegial activity, makes educational values central to the enterprise and contests the view that management is inevitably or generally manipulative.

The Organisational Culture

Harrison (1993) suggests that without a good fit between business goals and strategy, HRM goals and strategy and the structure and culture of the organisation, effective performance and productive patterns of organisational development cannot occur. To illustrate, who receives a job offer to join the organisation, who is appraised as a high performer, and who gets the promotion are strongly influenced by the individual-organisation fit and whether the applicant or employee's attitudes and behavior are compatible with the culture. Hiring individuals whose values do not align with those of the organisation culture will likely lead to a lower motivation, commitment and dissatisfaction with their jobs and the organisation (Robbins, 1998). As documented by

Sheridan (1992), employees who are misfit have considerably higher turnover rates than individuals who are perceived as a good fit.

Kermally (1997) defined corporate culture as shared assumptions, beliefs, values and norms. "Culture matters. It matters because decisions made without awareness of the operative cultural forces may have unanticipated and undesirable consequences" (Bennis, 1999, p. 3). Culture matters because it is a powerful, latent, and often-unconscious set of forces that determine both the individual and the collective behavior, ways of perceiving, thought patterns and values. Cultural elements of the organisational culture differ among different organisational settings, as different organisations tend to do things differently. In one organisation, people may be constantly meeting each other, there are no walls or closed doors, there is an intensity of feeling all around. However, in another organisation it is very formal, people are behind closed doors and conversations are hushed (Bennis, 1999). Nevertheless, the culture of the organisation is not static and it is susceptible to being shaped by management as well as being potentially resistant to forms of change (Bennett, 1995). The culture of the organisation affects the way performance is measured, the way employees are rewarded and the way they are treated by both top and senior managers, and the way decisions, policies, values, and strategies are communicated throughout the organisation (Kermally, 1997).

The language, rites and rituals are common organisational symbols and artifacts that constitute the top level of an organisation's culture. The language used by organisational members tends to determine how the organisation views itself and the world, the chosen words reflect and reinforce working relationships and values. The language used directs energy and maintains the system (Hackman and Johnson, 1996). Rituals are organisational practices performed regularly or occasionally (Trethewey, 1997). According to Deal and Kennedy (1982), companies with a strong culture go to the trouble of spelling in extensive detail, the routine rituals they expect employees to pursue. Rituals may prescribe and celebrate conduct that concerns communication,

work procedures, and special accomplishments deserving of recognition. Furthermore, rituals can range from daily greetings to lavish cultural extravaganzas (Trethewey, 1997).

As cited in Robbins (2001) recent research by Goffee and Jones (1998) provide interesting insights on the different organisational cultures. Four distinct cultural typologies were identified: networked culture, mercenary culture, fragmented culture, and communal culture. The following tables (Table 2-1 and 2-2) summarize Goffee and Jones cultural typology.

Table 2-1
Four-Culture Typology

		Solidarity	
		Low	**High**
Sociability	**Low**	**Fragmented Culture**	**Mercenary Culture**
	High	**Networked Culture**	**Communal Culture**

Table 2-2
Advantages and Disadvantages of Cultural Typology

	Advantages	**Disadvantages**
Fragmented Culture	Commitment is first and foremost to individual members and their tasks.	There is little or no identification with the organisation. Employees are judged solely on productivity and quality of work. Excessive critiquing of others and an absence of collegiality.
Mercenary Culture	Fiercely goal focused. People are intense and determined with a powerful sense of purpose to meet goals.	Possibly leads to an almost inhuman treatment of people who are perceived as low performers. The focus on goals and objectivity leads to a minimal degree of politicking.
Communal Culture	Values both friendship and performance. People have a feeling of belonging, it tries to give members a sense of participation and gain more accurate readings on employee performance. Leaders tend to be inspirational and charismatic.	There is still ruthless focus on goal achievement. The downside of these cultures is that they often consume one's total life.
Networked Culture	Views members as family and friends, they willingly give assistance to others and openly share information.	The focus on friendship may lead to tolerance for poor performance and the creation of political cliques.

Supporting Professional Learning through Collaborative Process

Building a collaborative culture in which teachers are not afraid to try out new ideas and take risks would be more effective once there is a level of trust that encourages people to share ideas and plan with each other (Stoll, 1994). Faculty collaboration in higher education is a cooperative endeavor that involves common goals, coordinated effort, and outcomes of products for which collaborators share responsibility and credit (Austin and Baldwin, 1992). Collaboration occurs when programs or projects are jointly designed and mentored; some autonomy is sacrificed by participants; resources are contributed; organisations are mutually benefited; administrators are actively involved or are supportive of the relationship and maintain final decision (Ament, 1987). Being empowered as a staff member (teacher) means being part of the educational institution which works as a community or a series of teams but which also delegates autonomy to its members' decision making, at least within limited spheres, such as the classroom or the department. In turn this implies that staff are encouraged to take initiatives that will improve the quality of the service provided, such as the learning undertaken. Established teachers may want to become familiar with the wide range of tasks involved in managing the educational institution (school) (Busher and Saran, 1995).

Collaboration amongst teachers, and between teachers and their principals, has been advanced as one of the most fruitful strategies for fostering teacher development whereby teachers can learn from each other, share, and develop their expertise together (Hargreaves, 1992). Teachers feel both active participants in the shaping of the agenda and recipients of support in the task of implementation. Most heads accept that this involves a meaningful investment in staff development programs by which present strengths are built upon and weaknesses remedied through the acquisition of new knowledge and skills (Hargreaves and Hopkins, 1994).

In schools where collaboration norms exist teachers set goals to improve instruction, contest with and share teaching problems, make suggestions to overcome instructional obstacles, and show mutual concern for their collective teaching performance (Rosenholtz, 1989). Issues are confronted more openly because of the atmosphere of trust that has grown out of closer working together (Dimmer and Metiuk, 1998). Organisations have to be based on trust because they can only operate effectively if there is mutual understanding between people (Drucker, 1990). Although trust requires all parties to act in an open and honest manner it does not exclude the micro-political processes through which participants try to influence decisions (Busher and Saran, 1995).

In the behavioral world of the university there seems to be a powerful norm of individualism and competitiveness. Faculty members tend to think of themselves as freestanding agents of intellectual entrepreneurship. Collaboration in groups larger than two is rare. Donald Schön attributes the lack of collaboration to the familiarity between the academy and its politics: " Perhaps because the academy is familiar with its politics, it has evolved a behavioral world based on separation of spheres of influence and surface cordiality of relationships. Open conflict tend to be minimized by leaving to each Professor the management of his own subject matter and courses; and in order to avoid confrontation among faculty members, public criticism tends to be suppressed" (Schön, 1987, p. 310).

An effective collaborative culture may not be achieved without some real conflict (Hargreaves and Hopkins, 1994). The persistence of privacy in teaching and head teachers feeling relatively independent in 'their' schools, is hardly the basis for developing group work. Many head teachers perceive collaboration as decreasing their power, typically because they no longer hold either the power of veto or the prerogative of having the last word on everything. This may also affect the head teacher's sense of professional identity. Changes in occupational identity involve feelings of losing control, anxiety and conflict (Campbell and Southworth, 1992).

The availability of time to collaborate is the most important in the process of undertaking and then sustaining improvements in higher educational institutions (Raywid, 1993). It has long been known that for change in any educational institution to succeed, educators must be involved in its implementation (McLaughlin, 1991). But unless the extra energy requirements demanded are met by the provision of time, the change is not likely to succeed (Fullman and Miles, 1992 as cited in Raywid, 1993). However, collaborative time alone cannot assure success. How time is used is crucial, but finding it is necessary (Prager, 1992 as cited in Raywid, 1993). In effect many educational institutions are experimenting with creative ways to find time for shared reflection. According to Raywid (1993), some schools have added meeting days to the year calendar. Other investigators have suggested that administrations of educational institutions follow general approaches to finding collegial time: freeing up existing time, restructuring or rescheduling or using it better. It is critical to choose the way to provide this collaboration time that will not likely increase costs substantially. Often teachers are willing to contribute some of their own time, but quite reasonably are unwilling to shoulder the full cost of the system. The responsibility to provide collaborative endeavor for school adequacy rests with schools, not individual teachers. The time needed to examine, reflect, amend, and redesign programs is not auxiliary to teaching responsibilities. It is absolutely central to such responsibilities, and essential for any educational institution to succeed (Raywid, 1993).

In the light of the rising importance of employee performance, the following section is devoted to the discussion of performance management, whose principle phases will be explored later in this chapter as an essential tool available to managers for managing as well as developing employees performance.

Performance Management

Performance management is the use of past performance evaluation ratings and reports to spot trends in employee performance (Gomez-Mejia, et al., 1995). It is the total process of observing an employee's performance in relation to their job requirements

over a period of time and then making an appraisal from it. Information gained from the process may be used to determine the relevance of individual and work-group performance to organisational purposes, to improve the effectiveness of the unit, and to improve the work performance of employees (Cascio, 1989).

Managing performance in an organisation involves informing employees what is expected of them, how they are contributing, and how they improve. Only then can the employees excel, use their abilities to the fullest, and feel connected to their organisation (Costello, 1994).

An organisational overall performance management system begins with the development of organisational strategy. Before any assessment of individual performance can be conducted, the organisation's direction must be articulated and communicated (Grote, 1996). Performance management involves the analysis of objectives and goals of the organisation and the departments within and ensuring that they relate to the overall goals of the institution (Costello, 1994). Each employee's skills and potentials for the job should be analyzed in relation to the department goals. The performance goals should be clearly communicated, and the expectations of each employee clearly conveyed. This must be followed up by gaining agreement on these goals and expectations (Costello, 1994). The cascading process of developing the overall organisational objectives continues until every member has set specific and measurable objectives, each of which can be ultimately related to the overall achievement of the organisation's strategy (Grote, 1996). In an educational setting, Day (1995) promoted the development of self-managed personal development profiles which are designed to foster the development of teachers as whole persons throughout their careers. Day (1995, p. 124) quote Senge (1990, p. 307) that "there is a natural connection between a person's work life and all other aspects of life". Teachers are not technicians but teaching is bound up with their lives, their histories, and the kind of persons they have been, and have become.

In the best systems, the appraisal is conducted not just by the supervisor but by the performer as well. Appraiser and appraisee evaluate independently the degree to which the different elements of the plan were achieved (Grote, 1996). Once the job agreed on has been executed, the next step in the cycle is to assess how the job was done. It is also important to recognize where performance needs to be improved and provide employees with the necessary support to improve it (Costello, 1994). Performance appraisal serves as a process of helping others and developing their performance through participation in an atmosphere of mutual respect.

The performance management literature (e.g. Moorhead and Griffen, 1992) emphasized the crucial role of supervisors in developing a two way communication system in which subordinates are involved so that they can learn from each other in order to improve their performance. Subordinates should consistently explicate their ability to learn from others and assist others in their learning process. Newly hired staff members have to be knowledgeable about the institution, thus hastening their professional growth and development and in effect benefiting the organisation. The following leads to commitment of all members within an atmosphere of collaboration and mutual inquiry.

Management by Objectives

A useful approach, which may promote reconciliation of both organisational and individual priorities, and provide a coherent structure for the management of performance, is suggested by the framework for management by objectives (MBO) (O'Neill, 1994a). MBO is considered the most prevalent outcome appraisal approach which asks managers to assess the results achieved by workers, such as total sales or units produced (Gómez-Mejía et al., 2001). This management system, which also deserves attention when considering appraisal, is a style of management where employees are asked to participate in setting goals, and then asked to judge to what extent the goals have been achieved. In other words, appraising performance is still an essential part of the process (Gomez-Mejia et al., 1995).

The term MBO was popularized by Peter F. Drucker, a consultant, prolific writer, and a Professor of management, who stated that objectives are needed in every area where performance and results directly and vitally affect the survival and prosperity of the business. Drucker (1955) in his book The Practice of Management emphasized that any business enterprise must build a team and weld individual efforts into a common effort. Each member contributes something different, but they all must contribute towards a common goal to produce a whole with neither gaps nor unnecessary duplication of effort. However, Drucker contends that in the business enterprise managers are not automatically directed towards a common goal. This could be in part due to three powerful factors of misdirection: the specialized work of most managers; the hierarchical structure of management; and the differences in vision and work of various levels of management. Therefore, MBO requires major effort and special instruments. For example, two-way (top-bottom) communication along the organisational hierarchy can be a healthy step towards attaining mutual understanding. It requires both the superior's willingness to listen and a tool especially designed to make lower managers and workers be heard (Drucker, 1990). MBO has come a long way of change and development, from the performance appraisal tool to an integrative device for individual and organisational objectives, and finally to a long-range planning instrument (Weihrich, 1985). Drucker's MBO and the method of jointly applying defined goals to motivate individuals was later followed in the 1900's by the learning organisation. According to Robbins (2001) the learning organisation has developed the continuous capacity to adapt and change.

The learning organisation is an organisational culture where individual development is a priority, and where individuals are empowered, motivated, sharing the feeling of common destiny and profit, striving towards jointly defined goals, and anxious to use every opportunity to learn from situations (Otala, 1995; Cullen, 1999). The learning organisation has been launched as the solution to the problems of increased competition and the quest for more rapid changes (Elkjaer, 2000). According to Senge (1990), the

organisations that will truly excel in the future will be the ones that discover how to initiate people's commitment and capacity to learn at all organisational levels.

In an educational setting, as discussed by Lumby (1997), the role of creating a learning organisation is very important, not only in terms of making the institution itself as effective as possible, but also in providing a role model for all other organisations. Lumby (1997) questions the nature of the way teachers learn and the recommended shift from an emphasis on individually based learning to a holistic and communal approach. Lumby (1997) refers to the studies by Yinger and Hendricks-Lee (1993) and Clark (1996) whose writings on developing teachers explore the impact of the shift in perceptions, from an individually focused process of development to one where the whole teacher in context of the whole organisation is the centre of planning development. According to Busher and Saran (1995, p.1) "a vision of schools moving into the twenty-first century is that they are rapidly becoming centres of learning, not just for students but for all involved with the institution, including staff (both teaching and support staff), parents and members of the local community".

Integration of Organisational and Individual Objectives

In the mid-1960's, consultants and line managers became interested in the concept of self-control through involving subordinates in the decision and control process. They viewed MBO as a vehicle for integrating individual and organisational objectives (Howell, 1970). The underlying premise of this approach is that top managers do not necessarily know best, but rather, that individuals at all levels are capable of contributing to the success of the organisation. Another characteristic of MBO is the concern not only for organisational objectives but also for personal development objectives whereby employees no longer accept orders blindly; they demand a part of the action; they want more control over their job and their life; and they want to know where the company is going, so as to contribute to the aims of the organisation (Weihrich, 1985).

According to Drucker (1955), the greatest advantage of MBO is perhaps that it makes it possible for the organisational member to control his or her own performance. Self-control expects stronger motivation that is, a desire to do the best rather than just enough to get by. To be able to control performance, the employee needs to know more than what his or her goals are.

Measuring performance is an invariable practice to supply organisational members with a clear and common measurements in all key areas of a business. Such measurements need to be clear, simple, and rational. An important aspect of organisational development effort for the implementation of MBO is team building (Atkinston, et al., 1981, as cited in Weihrich, 1985).

The essence of team building in a collaborative and participative atmosphere is the core aspect of today's learning organisation. Research on organisational effectiveness indicates that a participative approach to management, rather than a hierarchical decision-making structure, is more effective whereby the purpose and vision of the organisation are clearly understood and supported by all its members (Worrell, 1995; Lumby, 1997).

The implementation of MBO may fail when it is superimposed on the organisation without the proper understanding of the existing climate. For example, according to Weihrich (1985), it is unrealistic to expect managers who have operated for many years under an autocratic system to suddenly become participative team members. Forcing these drastic changes without coaching may disturb the organisational equilibrium thus resulting in undesirable consequences (Weihrich, 1985).

According to Caruth (1986), MBO cannot be harmonious with some managerial styles. The hierarchical structure of management and the degree of rigidness inherent in such structure is one of the major impediments in the development of an MBO framework (Drucker, 1955). For example, MBO is expected to fail under both authoritarian

conditions and a single managerial level. Accordingly, it is preferable to operate MBO at all levels since it is perceived as an organisational philosophy. MBO approach does not lend itself to all types of jobs. Extensive training is required for employees before they can react positively to this philosophy (Caruth, 1986). Oberg (1991) observes that when MBO is applied to lower organisational levels, employees are not always willing to take part in the goal setting process since they may not want self-direction or autonomy. The following has resulted in more coercive variations of MBO where management is actually manipulative, and there is no real participation. Employees are consulted, but managers end up imposing their own standards or objectives (Oberg, 1991).

Relevant to an MBO framework is what has been discussed about collegiality among subordinates and between subordinates and their supervisors. According to Hargreaves (1992) collegiality has been advanced as one of the most fruitful strategies for fostering individual development. Besides, the confidence that springs from collegial sharing and support leads to greater readiness to experiment and take risks, and with it a commitment to continuous improvement as a recognized part of their career obligation. Thus, it is implied that commitment to continuous improvement is a form of applied MBO. Collegiality is also viewed as a way of security effective implementation of externally introduced changes (Hargreaves, 1992; Campbell and Southworth, 1992). However, collegiality has not been without its critics. Hargreaves (1992) points out that most critiques of collegiality have focused on difficulties of implementation. Discussion about and advocacy of collaboration and collegiality have largely taken place within a particular perspective on human relationships: the cultural perspective. This perspective emphasizes what is shared in human relationships such as values, habits, norms, beliefs, etc. (Schein, 1984). Problems with this perspective have been used to base the criticism of collegiality. Firstly, the existence of shared culture is presumed no matter how complex and differentiated the studied organisation is. Secondly, the theoretical and methodological emphasis on what is shared in the organisation may exaggerate the consensus-based aspects of human relationships. In

some organisations, the differences and disagreements among participants are more significant than what they happen to share (Woods, 1990).

Drucker (1955) emphasized participative goal setting, self-direction, and self-evaluation. Although the MBO literature focuses on the integration of individual objectives with organisational goals, in practice, organisational demands are often quite different from individual needs and career goals. For example, the company in general is concerned about the effective and efficient operation. These organisational concerns are not unimportant to the individual, but they are rather secondary to the individual's concern for self-fulfillment and self-actualization (Weihrich, 1985). The organisation that wants to provide career opportunities for its employees has to recognize the needs of all employees. In most cases, the needs of some individuals are in conflict with those of other individuals in the same organisation. The enterprise must fill all the roles in the organisational structure. However, some roles may restrict the freedom of individual managers who want to utilize their capabilities and potentials (Weihrich, 1985). The following table presents the potential differences between the organisational demands and individual needs and career goals.

Table 2-3
Potential Conflicts Between the Organisation and the Individual

Organisational needs and demands	Individual needs and career goals
Concern for effective and efficient operation, profit, and productivity	Concern for self-fulfillment and self-actualization
Concern for all members of the organisation	Concern for self
Need to fill the roles in the organisation structure	Need for self-fulfillment and self-actualization
Need for skills to fill all positions	Interested in challenging work only
Need for some specific, well-developed skills	Bored by routine work using specific skills
Best utilization of all talents within the organisation	How to utilize own potential within or outside the enterprise
Manager to work in geographic location best for the organisation	Location most suitable for self and family

(Weihrich, 1985, p. 159)

The outcome approach provides clear and unambiguous criteria by which worker performance can be judged. It also eliminates subjectivity and the potential for error and bias especially in manufacturing firms (Smith, 1992; Gómez-Mejía et al., 2001). Although considered to be objective, outcome measures may give a seriously deficient and distorted view of worker performance levels as might be the case when a complex equipment is not running properly. In this situation the best workers on the machine will end up looking like the worst workers in terms of amount produced, that is if the outcome measure was set to specify number of units produced within acceptable limits. Cardy and Krzystofiak (1991) strikes an example of the same problem that occurred at a manufacturer of automobile components. To resolve the issue, management concluded that supervisors' subjective performance judgements were superior to objective outcome measures.

Managing performance not only affects the employee's performance but also the performance of the entire institution. As expressed by Costello (1994, p. 3): "A solid performance management plan is essential to developing an organisation and the people within it. An effective performance management system should serve as the corrective and driving force behind all organisational decisions, work efforts, and resource allocation".

Performance appraisal serves as a process of helping others learn and develop at work through participation and collaboration in an atmosphere of mutual respect.

Purposes of Appraisal

There are many different purposes of appraisal, to evaluate people's performance, to recommend a salary increase, to encourage developmental growth within a position, e.g. if you are not appraised what is the advantage of extra effort and growth. Appraisals will also identify the need for training (Robbins, 2001).

Researchers have found that the purposes of appraisal relate both to improving individual performance and to greater organisational effectiveness (Kamp, 1994; Kempton, 1995; Anon, 1999). In education it has been argued that "the goal of a great appraisal system is for professional development. It is neither the ranking or grading of teachers nor the weeding out of poor teachers, it is to create an environment where everyone is used to the best of their abilities" (Bradley, 1992, p. 127). Bell (1992) points out that one of the most damaging justifications for the introduction of staff appraisal into schools has been its proposed use to screen out incompetent teachers. This was based on the view that the teaching force needed to be cleansed of teachers who were somewhat unqualified and who were probably responsible for the ills of the education system. Bell (1992) refers to Bell (1988b) and Poster and Poster (1991) for the detailed discussion of the debate concerning the justifications of introducing staff appraisal into schools. "Effective performance measurement systems make people feel good about themselves and self esteem is the key to productivity" (Fitz-enz, 1995 p. 263). There is nothing more rewarding than a pat on the back; in a recent newspaper survey, more workers indicated that they felt that a simple "well done" was more rewarding and satisfying than a bonus pay check. Positive appraisal can be a source of congratulations, but there are also other advantages beyond the psychological benefits mentioned by Fitz-enz (1995). These are the benefits to the organisation as a whole, to the manager and to the employee. Firstly, the benefit to the manager is the opportunity to discuss work, areas of confusion and identify areas requiring either coaching or counseling. Finally, the benefits to the employee is that they have a chance to discuss with their manager, their current roles and aspirations for the future, and agree on the performance level required in the coming period (Kempton, 1995), (see Appendix B).

"It is quite right that appraisal should not be seen as a pursuit of the guilty" (Fiedler, 1995, p. 4). The purpose should be supporting poor performers and providing them a positive spirit. However, in order to motivate individuals the evaluation or assessment process needs to be continually improved, this would also ensure the accountability of

the individual (Beer, 1986). Normally, training involves the improvement of an appraisal system.

Performance Appraisal

Performance appraisal may also be defined as "an on-going systematic evaluation of how well an individual is carrying out the duties and responsibilities of his or her current job. Additionally, it typically includes an assessment of the individual's need or potential for further development" (Caruth, 1986, p. 235). In simpler terms, it is an ongoing process or activity that is systematic in nature and includes an evaluation, and a developmental aspect (Caruth 1986; Caruth et al., 1988). According to Bell (1988a), based on the argument by Joseph (1985), systematic appraisal would provide knowledge about the skills and competence of individual educators.

Caruth (1986) and Gomez-Mejia et al. (1995) argued that appraisal is usually performed annually and this is believed to be a fairly good indicator of the frequency of conduct of appraisal in most establishments. The reaction of staff to an individual annual interview provides a focus for career development, brings together a detailed analysis of a department's past performance and includes an additional academic plan for its immediate future (Rutherford, 1988). Obviously, however, it is also possible to conduct a formal appraisal more than once a year. Whilst a properly operating system would provide feedback on a daily, weekly or monthly basis, and consequently a formal appraisal would be needed no more than once per year (Caruth, 1986).

"Managers are uncomfortable when they are put in the position of playing God" (McGregor, 1990, p.155). Levinson (1991b) seemed to disagree with this claiming that:

"I doubt very much that the failure of appraisal stems from playing God or feeling inhuman. My own observation leads me to believe that managers experience their appraisal of others as a hostile, aggressive act that unconsciously is felt to be hurting or destroying the other person. The appraisal situation, therefore, gives rise to powerful,

paralyzing feelings of guilt that make it extremely difficult for most executives to be constructively critical of subordinates" (p. 31).

Ironically, though, in his attempt to disclaim McGregor, he ended up rebounding in his direction. Indeed "a hostile, aggressive act that unconsciously is felt to be hurting or destroying the other person" appears as a fairly good exploitation of McGregor's phrase "playing God" (Levinson, 1991b). To play God is, after all, to exercise unlimited power, and exercising such power does amount to hurting others (Orwell, 1984, pp. 229-230). As for "the paralyzing feelings of guilt" that stem from using or abusing one's power, they obviously derive from a perception of oneself as "inhuman" when placed in situation of omnipotence. Appraisal is not just about playing God. It is a method or technique for obtaining better results from the organisation, teams and individuals. According to Bell (1988a), appraisal is not an opportunity to criticise any individual's personality or opinions, or discuss other colleagues. However, it should focus on the individual educator's own performance to screen out some areas that could be improved as well as potentials for developing new skills and taking on more demanding jobs. It can also function as an indicator for reward and promotion although this should not be the main reason for conducting appraisals. "There are insufficient rewards and promotions in teaching to give recognition to the wide range of staff who deserve them" (Montgomery, 1991, p. 42). This may be achieved through managing performance within an agreed framework of planned goals, objectives and standards (Kempton, 1995).

Bennis remarked in 1972 and again almost 20 years later that McGregor's theory X and Y is a seminal one and still holds true. After viewing the way managers dealt with employees, McGregor concluded two sets of assumptions about how work attitudes and behaviors dominate the way managers think and how they behave in organisations. Theory X assumes the average worker is lazy, dislikes work, and will try to do as little as possible. Moreover, workers have little ambition and wish to avoid responsibility. So to keep workers' performance at high level, the manager must supervise them

closely and control their behavior by means of the carrot and the stick. Managers under this assumption see little point in giving subordinates autonomy because they believe that the workforce neither expects nor desires cooperation (Robbins, 1998; Jones et al., 2000). In contrast, Theory Y assumes that workers are not inherently lazy, do not naturally dislike work, and if given opportunity, will do what is good for the organisation. The characteristics of the work setting determines whether workers consider work as a source of satisfaction or punishment. Managers do not need to closely control workers' behavior in order to make them perform at a high level, because workers will exercise self-control when they are committed to organisational goals. Under this assumption, it is the manager's task to create a work setting that encourages commitment to organisational goals and provides opportunities for workers to be imaginative and to exercise initiative and self-direction (Daft, 1997; Jones et al., 2000). Theory X and Y define managers' beliefs about what is an appropriate style for working with their subordinates. Misunderstanding the needs of subordinates, assuming, for example, that a subordinate fits within the X theory when actually he or she fits within the Y theory, can lead to a discontented subordinate who is poorly motivated to work. A manager assuming Theory X is likely to use traditional economic incentives (money) to motivate employees, motivators that satisfy lower-order physiological and safety needs. It has been also argued that whilst close supervision and continual monitoring may increase workers' productivity in the short run, these management tactics can hurt employee morale in the long run (Boone and Kurtz, 1993).

Even though many managers continue to use money as a primary motivator, a number of changes have occurred the origin of which can be traced to the Hawthorne studies, by Elton Mayo. This led to the development of the human relations approach to motivation. The phenomenon discovered known as the Hawthorne effect considers subjects more productive because they feel important and appreciated and more motivated not only due to money and job security factors (Boone and Kurtz, 1993). The human relations approach has been incorporated in Fiedler's contingency model (1967), which recognises the interaction of leaders and their environments. The major

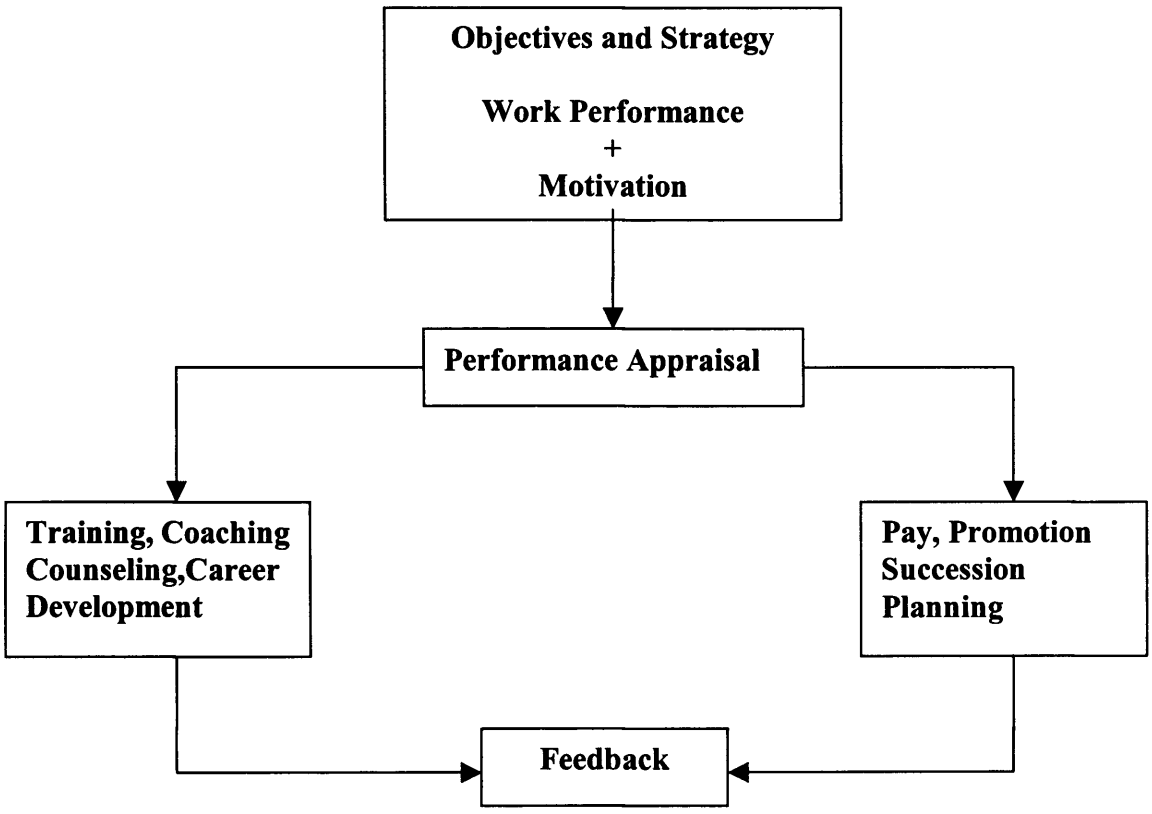
innovation in Fiedler's work is that he takes into account the situation in which the leader is working, including the relationship with subordinates as well as the style of the leader. Fiedler's research has shown that when the situation is particularly favorable or unfavorable to the leader, a task-oriented leader is more effective. When the situation is not particularly favorable, a people oriented leader is more effective (Coleman, 1997).

Moreover, according to Baron and Greenberg (1990) many of the roles in an organisation are assigned by virtue of the individual's organisational position. For example the teacher is expected to lecture and give exams. The following expectations are usually emphasized in either the job description or the company's manual policy. Robbins (2001) re-emphasized the concept of role expectations and defined it, as how others believe a person should act in a specific situation.

In the late 1960's several theories were put forward focusing on workers motivation and goal setting. McGregor's X and Y theory and Fiedler's leadership effectiveness theory deal with stimulating superior performance. On the other hand, concept role expectation conducts appraisal on the degree of individual behavior fitness with expected acts. Apart from this, it is important to measure performance in order to determine the subordinates effectiveness in contributing to the organizational activities and success. Performance measurement has become the systematic evaluation of subordinates with respect to their performance and their potential for development, since most organisations appraise the performance of their employees (Kermally, 1997).

Kempton summarizes his definition of appraisal in the following Figure 2-1:

Figure 2-1
Good Organisational Practices



(Kempton 1995, p. 154)

Before discussing the different types of appraisal, it is essential to highlight, in general, some disadvantages of appraisal. The problem, of course, is that perverse effects are inevitable: "It is widely recognized that there are many things inherently wrong with most of the performance appraisal systems in use" (Levinson, 1991a, p. 22). For example, sometimes poorly designed appraisal forms are used which tend to reduce credibility. Sometimes feedback and follow-ups can be inadequate (Anon, 1999). Bell (1988a) argues that staff appraisal, if carried out badly, would increase the level of distrust within the educational institution and lead to a lowering of staff morale. To be effective, appraisal must provide good feedback to the subordinates; McGregor (1957)

and (1990) identifies this as a problem area because, firstly, lack of communication or inadequate communication can result in poor appraisal results. Secondly, not all managers tend to like new procedures or methods, thus resistance to administer new appraisal methods may arise. Another important impediment is the lack of trust in the appraisal method. Some managers doubt the validity of appraisal (McGregor, 1957) (see Appendix B). According to Bell (1988a), the major difficulties associated with the introduction of appraisal relate to staff suspicion about the ability of their colleagues in middle or senior management to carry out an effective appraisal.

According to Levinson (1991a), the problems of appraisal systems are actually problems of management. Personnel specialists attribute the following problems to managers reluctance to adopt new methods and the fear of irreparable damage to subordinates self esteem. This leads to the argument that performance appraisal is not just a technique but a process that involves both people and data. Another inadequacy involves the fact that it is the outcome of behavior, rather than the behavior itself that is judged.

Even though performance appraisal has disadvantages, every manager recognizes that "like it or not, performance appraisals are here to stay" (Longenecker, 1989, p. 76).

"The main emphasis has been on identifying strengths and then enabling people to grow from these to achieve individual and school goals. There is a concern that paperwork should not proliferate to cover or substitute for genuine development work. It has been noted that too often after the initiator of a scheme leaves or ceases to participate it lapses. Often a head's initial enthusiasm wanes after the first year and the scheme collapses. To maintain an appraisal scheme there needs to be continuous interest, energy and drive in order to keep it functioning in a worthwhile fashion. Many good schemes are still in operation but just as many have fallen by the wayside and so new initiatives and new people are needed to lead and promote them" (Montgomery, 1991, p. 45).

To conclude, appraisal would partially assess the faculty member's level in meeting the set and agreed upon goals. If conducted effectively, individual members insights on how to improve their performance, thus contributing in raising the educational standards.

Types of Performance Appraisal

There are many different techniques of appraisal the main of which are: Self-Review appraisal, Immediate supervisor appraisal, Peer group appraisal, Team appraisal, overall assessment appraisal, Upward appraisal, and the 360 degree appraisal. Each appraisal process has its own advantages and disadvantages. The best anyone can hope to do is to match the appropriate appraisal method to the particular appraisal goal. A look at the various advantages and disadvantages of different appraisal methods (see Appendix A) leads to interesting conclusions.

One commonly used appraisal technique is **Self-Review**, this consists of each employee appraising his or her own performance. Employees who are best suited for this kind of appraisal are in a position to understand the objectives that they are required to reach, and the standards by which their performance is to be measured (Moorhead and Griffen, 1992; Robbins, 1998). It allows the employees to add their own input to the appraisal process, and it helps them gain insight into the causes of performance problems (Gomez-Mejia, et al., 1995). The benefits of this appraisal technique lie in the fact that it facilitates employee development. Employees are required to focus on job behavior and performance, and they must identify and examine their strengths and weaknesses. Since it is they who come up with the evaluation results, they accept the findings more easily, and thus tend to be more pro-active. Self-appraisals also clarify differences between the subordinates' and the supervisor's opinions concerning job demands and performance. They also increase performance and reduce defensiveness about the appraisal feedback interview (Gibson, et al., 1994). This approach tends to lessen employee's defensiveness about the appraisal process. A major disadvantage of

the self-review appraisal is that it suffers from over-inflated assessment and self-serving bias (Vecchio, 1995; Robbins, 1998).

One way to make sure self-ratings are helpful is to combine them with the ratings of the **Immediate Supervisor**. The supervisor and the subordinate fill out identical appraisal forms and later compare the responses and discuss the agreement and disagreement areas (Vecchio, 1995). If there is a substantial difference in opinion between the two, communication and possibly investigation become warranted. In the application of self-appraisal to higher education, the faculty members would appraise their own performance with relevance to the objectives and standards of performance set by the university. Standards of performance may include level of student enrolment in the classroom, publications, participation in conferences, etc. In the Immediate Supervisor an employee's direct supervisor evaluates his or her performance (Latham & Wexley, 1981; Vecchio, 1995; Robbins, 1998). In some cases, the supervisor is in the best position to observe an employee's performance and in addition to this, it is the supervisor's duty to direct the employee's behavior (Vecchio 1995; Robbins, 1998). However, the supervisor may not be always capable of understanding the subordinates' values embedded in their actions. Additional shortcomings include the bosses feeling incapable of evaluating the unique contributions of each of their subordinates, and their resentment of being asked to "play God" with their employees' careers. Despite its shortcomings, this method is used for about 95% of performance evaluations at he lower and middle organisational levels (Latham & Wexley, 1981; Robbins, 1998). However, in fact, the traditional "manager-to-subordinate" performance appraisal is widely considered inappropriate for professionals. Moreover, many modern organisations are moving away from the conventional "top-down" performance review toward greater use of self appraisal (Meyer, 1991).

Whenever the immediate supervisor method is being used in combination with self-review and still the supervisor and the subordinate cannot resolve their disagreements, performance assessment from other sources can be used. One technique of appraisal that may be helpful in such a case is the **Peer Group** appraisal. In this method, a small team does an evaluation of each other's performance (Kempton, 1995). These employees are at the same level of the organisational hierarchy (Gomez-Mejia et al, 1995). Daily interaction with peers provides them with a comprehensive view of the employees job performance. In addition using peers as raters provides the organisation with a number of independent judgements making the evaluation more reliable. Disadvantages of this approach consists of co-workers' unwillingness to evaluate each other as well as the existence of biases due to friendship or animosity (Robbins, 1998). According to Gibson, et al. (1994), usually these evaluations are the most reliable sources of appraisal data because peers are close to the action. However, peer evaluations can suffer from colleagues unwillingness to evaluate one another and from biases based on friendship or animosity (Robbins, 2001). According to Cascio (1995), in order to reduce potential friendship bias whilst simultaneously increasing the feedback value of the information provided, it is important to specify exactly what the peers are evaluating. In addition, they may lack sufficient understanding of their peer's job, and thus be unable to provide a fair and accurate appraisal. Some managers also believe that this method undermines their authority. The results of this method can be compared with the supervisor and self-appraisal methods in order to spot agreement and disagreement areas. In some cases, where supervisor's assessment differs from employee's self-review, team appraisal may be used to resolve differences instead of peer group appraisal.

An extension of the peer appraisal is **Team appraisal,** which involves the joint appraisal of employee performance by two or more supervisors familiar with the employee's performance (Caruth et al, 1988). Whilst peers are on equal standing with one another, they may not work closely together. In a team setting, it may be nearly impossible to separate out an individual's contribution. Advocates of team appraisal

argue that, in such, cases, individual appraisal can be dysfunctional since it detracts from the team's critical issues (Sherman et al., 1998). There are many cases where an employee works for two or more supervisors or works with one but interfaces across organisational lines with several supervisors or managers. In those cases, this type of appraisal is more appropriate since a collective appraisal is generally more accurate and objective than one performed by a single appraiser who did not have the chance to see the employees' work in all areas (Caruth et al, 1988). Team appraisal represents one way to break down barriers between individuals and encourage their collective effort (Sherman et al., 1998).

Other techniques of appraisal that are commonly used include **Overall assessment** in which a manager writes a report on the subordinate, hopefully to provide him or her with some guidelines. The assessment may or may not be seen and commented upon by the employee (Kempton, 1995). This method is less structured and confining than other forms of appraisal. It permits the appraiser to examine any aspect of performance. Appraisers can therefore place whatever degree of emphasis on issues they consider as important. The process is open-ended and flexible, and there is no assumption that employee traits can be neatly dissected or scaled (Anon, 1999). According to Oberg (1990), the biggest drawback of this appraisal technique is the variance in the lengths of the essays and their content; because essays discuss different aspects of one's performance or personal qualifications, it becomes difficult to compare or combine essay ratings. In addition, this method is time consuming, and its biggest advantage, freedom of expression, is also its greatest handicap. Last but not least, the appraiser's writing skills can distort the process (Anon, 1999). The following essays referred to by Oberg are the overall assessment reports written by the appraiser.

One appraisal technique, which differs from the previously discussed ones, is the **Upward Appraisal**. Individual members or subordinates are asked to complete a performance appraisal on their supervisors. The question is whether the organisational appraisal procedures allow employees the opportunity to assess their managers'

performance (Grote, 1996). A basic idea inherent therein is that people who work under others are the best judges of their superiors (Kempton, 1995). However, according to Levinson (1991) most managers do not want to be evaluated by their subordinates, the following renders upward appraisal very difficult. Vecchio (1995) argues that subordinates often believe that they are not in the best position to observe their supervisor's performance. Upward appraisal will work in an organisation that has a culture of trust and openness. Staff feel 'empowered' and they feel that what say matters and will be taken seriously (Kempton, 1995). Students in higher educational institutions might also feel empowered. Advocates of this approach suggest that evaluations by subordinates will make supervisors more conscientious in carrying out their responsibilities effectively. Other advantages are also attributed to this appraisal technique, for example, since employees are much in contact with their bosses, they tend to see performance related behavior not seen by the manager's boss (Gibson et al., 1994). The following may apply to students in higher educational institutions. In addition, it requires supervisors to interact with subordinates to reinforce the organisation's teamwork values (Auteri, 1994; Bernadin & Beatty, 1984). However, a supervisor may become more concerned with the issue of popularity instead of effective performance of the work unit (Caruth, et al, 1988). Also, there may be a fear of reprisal from a boss given an unfavorable evaluation unless anonymity is guaranteed (Robbins, 1998). Finally, when these types of appraisals are used for pay raise and promotion decisions, managers may start basing hiring decisions on who might rate them favorably. That is why, the following types of appraisal are used primarily for management development purposes (Gibson, et al, 1994).

There exists a method that combines appraisal types. **360 degree appraisals** are based on feedback from the full circle of contacts that an employee may have in performing their job. This may include bosses, peers or subordinates such as students in educational institutions, etc. (Schermerhorn et al., 1998). 360 degree evaluations fit well into organisations that have introduced teams, employee involvement, and total quality management programs (Robbins, 1998). The appraisal can be a combination of

peer, subordinate and self-appraisal methods (Gomez-Mejia et al, 1995). These evaluations help managers by providing a wider range of performance-related feedback than traditional evaluations i.e. self-review. For this reason this method is quickly gaining importance and may someday be the rule rather than the exception. In addition, with so many employees reporting to one manager, it has become more difficult for supervisors to judge each individual's performance accurately. The immediate supervisor's assessment has become synchronous with today's emphasis on teamwork and participative management (Gomez-Mejia et al, 1995). However, 360 degree appraisal must be carefully managed so that its focus remains on constructive, rather than destructive criticism (Moorhead and Griffen, 1998). 360 degree evaluation system will be discussed in more details next.

There is also an approach to job analysis named the **Critical incidents**. According to McMahon and Carter (1990), the job analysis investigates both the current job and the future job. Furthermore, it breaks the job to actions and analyses the relation between every activity in the job. Critical incidents can be thus used as a method of appraisal. It is not strictly or necessarily an appraisal technique. It could be used in any appraisal method. It is one of the behavioral methods that have been developed to specifically describe which actions should or should not be exhibited on the job (Sherman et al., 1998). Its objective is to identify critical job tasks, which are important duties, and job responsibilities that lead to job success (Sherman et al., 1998). It looks at key incidents that were outstandingly good or bad and analyzes the critical points. Therefore, a critical incident occurs when employee behavior results in unusual success or failure in some part of the job. After the appraiser and the appraised have been examined, the remedies and solutions are then sought (Kempton, 1995). This approach is excellent for employee development and feedback (Schermerhorn et al., 1998). Not only do individuals receive meaningful feedback on their performance, but they understand exactly what needs to be done differently in the future. The employee may not agree with the supervisor's standards, but there is no question about the expectation (Grote, 1996). The list of incidents recorded provides a set of examples that may be used to

show the employee what behavior is desirable and what behavior should be improved (Robbins, 1998). According to Oberg (1991), jotting down incidents on a daily or weekly basis could become like a chore to the supervisor. In addition, this technique may result in the supervisor delaying feedback to the employee, and it is well known that confronting an employee must be done as quickly as possible. Last but not least, Oberg argues that since the subordinate does not participate in setting the standards, he or she will be less motivated than if he was allowed to at least agree to the standards.

However no references were found regarding the application of these appraisal techniques in higher education. Computer-based information searches (for material dated 1980-2001) were conducted using the keywords Self-Appraisal, Supervisor's Appraisal, Peer Group, Team Appraisal, Overall Assessment, Critical Incident, and Upward Appraisal, each paired with Higher Educational Institutions and faculty members. The search attempts were done through the following databases: Educational Resources Information Center (ERIC), University of Michigan Index (UMI). The researcher also searched through some indexes at LAU Library such as the Education Index and Business Index. The search was conducted under Performance Appraisal and Management titles, it returned no hits. Libraries located in Lebanon were also scanned through the web view for relevant books and articles.

One important conclusion is that appraisal can be either a process of control or a means of empowerment, or both (Gibson, et al., 1994; Auteri, 1994; Kempton, 1995). When upward appraisal is being used, the result is greater empowerment for employees. However, according to Levinson (1991) most managers do not want to be evaluated by their subordinates. Moreover, supervisors may become more concerned with the issue of popularity instead of effective performance of the work unit (Caruth, et al, 1988).

The self-appraisal technique is similar to the upward appraisal. The similarity is due to the fact that the self-appraisal technique also leads to employee empowerment. The self appraisal technique allows employees to personally add input in their appraisal, the

personal input results in employee development since employees start gaining insight into the real causes of performance problems (Balkin and Cardy, 1995). In the upward appraisal the bias is present because the employees tend to present a good image of their supervisors to please them, however, according to Robbins (1998), in the self appraisal the bias is present because employees tend to present a positive image of themselves.

The self-appraisal technique and the critical incident technique are both used to facilitate employee development (Gibson et al., 1994; Schermerhorn et al, 1998). However, the critical incident technique lacks participation of the appraisee in setting the standards for appraisal and might thus be less motivating to follow (Oberg, 1991).

The self-appraisal and the upward appraisal techniques are contrasted with the peer group appraisal, since the appraiser is neither the supervisor, nor the employee but the actual peers that are closest to the action. Peer group appraisal is more comprehensive than both the self-appraisal and the upward appraisal. According to Robbins (1998), peer group appraisal is the most reliable source of appraisal since peers are the closest to the action and their independent judgments make the evaluations more reliable. However, as in the self-appraisal and the upward appraisal the bias is present on the part of the appraiser. According to Robbins (1998), biases are present due to friendship and animosity among peers.

The overall assessment technique is less structured and confining than other appraisal methods. Overall assessment techniques allow the appraiser to place emphasis on specific detailed aspects of performance appraisal. However, according to Annon (1999), it is time consuming in comparison to other appraisal techniques.

The immediate supervisor is used when the upward appraisal and the self-review technique do not resolve the performance problem. Unlike the self-appraisal where the employees evaluate their performance in relation to set standards, the immediate supervisor appraisal entails the filling up of appraisal forms by the supervisor.

Finally, the latest appraisal technique which is the 360 degree gives a wider range of performance-related feedback than the traditional evaluation techniques. The 360 degree appraisal combines the upward appraisal with the peer appraisal and the immediate supervisor appraisal. Regarding possible biases, the 360 degree appraisal appears to be a fair source of information since the appraisers biases are minimized (Kermally, 1997).

Using the 360 degree Appraisal and Feedback Method

"What your boss, your peers, and your subordinates really think of you may sting, but facing the truth can also make you a better manager" (O'Reilly, 1994, pp. 56).

The newness and significance of this performance appraisal version necessitates more elaboration, with emphasis being placed on the success of implementing this appraisal scheme in educational setting.

360 degree feedback has the ability to improve the quality of information individuals receive in regards to the quality of their performance (Grote, 1996). It creates an opportunity for those closest to the work (or appraisee) to evaluate how well the appraisal has been done and whether or not it can be done better.

360 degree feedback is new in higher education. It uses information from a wide range of sources; Deans, Chairpersons, faculty members (colleagues), and students. This evaluation method has been recently applied to higher education institutions and consequently there are at present no references to its application in the field (University of Wessex, 1998). However, the system has been used in large companies. A recent

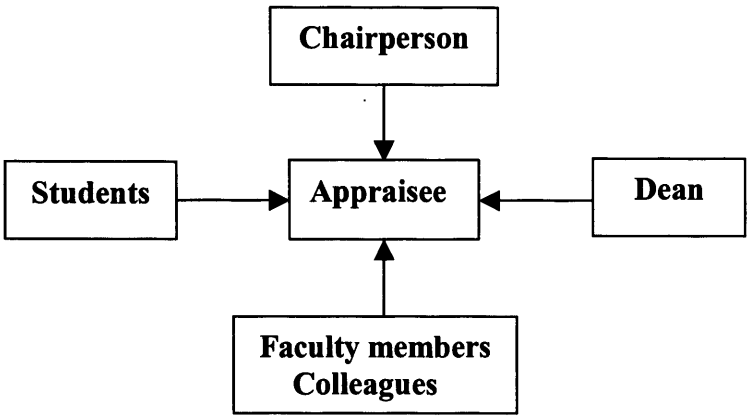
survey cited by Robbins (2001) shows that about 12 percent of American organisations are using full 360 degree programs, but the trend is growing. Companies currently using this approach include Alcoa, Du Pont, Levi Strauss, Honeywell, UPS, Sprint, Amoco, AT&T, W.L. Gore & Associates, and General Electric. Dean (1993) quoted Jack Welch, the CEO of General Electric's opinion about 360 degree feedback in the 'Managing' section of Fortune Magazine by stating "To embed our values we give our people 360 degree feedback with input from superiors, peers and subordinates. These are the roughest evaluations you can get, because people hear things about themselves they've never heard before. But they get the input they need, and the chance to improve. If they don't improve they have to go" (p. 83).

360 degree appraisal systematically gathers feedback on various aspects of the subject's performance and behavior. It is fast growing approach that is fed by a realisation that there are no other ways to obtain such "vivid and specific" information. The power of 360 degree is that the manager can no longer pretend not to know how he or she is seen, or that information is partial, since they are receiving information from all sides and from all directions. This method is mainly seen as a staff development tool rather than a way of determining pay (University of Wessex, 1998).

This feedback method is based on receiving information from colleagues, supervisors, and peers, i.e. all the groups of people that the appraisee comes in close contact with whilst performing his or her tasks (Kermally, 1997; Anon, 1998). The information can be collected through questionnaires, and the feedback is then returned anonymously. Although questionnaires may result in incomplete answers, misunderstood questions, or frivolous responses (Drever, 1995), they are more preferred than interviewing. This is because it is more feasible to use questionnaires as they are less time consuming than interviews. Interviews are time-consuming in terms of completing the interview and processing. With questionnaires the processing of results is more straightforward. However, interviews give high-quality data as the interviewer can explain any ambiguities and correct any misunderstandings (Drever, 1995).

In a higher education setting, the Chairperson or the Dean would then sit with the individual to analyze the feedback. In a university setting 360 degree feedback might be summarized in the following flow chart.

Figure 2-2
360 degree feedback



In order to carry out performance appraisal, institutions need to develop their own instrument since it might concentrate on specific characteristics or attributes that need to be assessed, e.g. to measure accountability of faculty members. Parry (1995 cited in Grote, 1996) identified the specific accountabilities that might appear in the job description of virtually every college Professor: teaching; research; writing; counseling students; professional development and service to the university. Therefore, the instrument can incorporate these aforementioned criteria to measure the performance of a faculty member in higher education.

360 degree feedback has the ability to improve the quality of information individuals receive about their performance. With pencil and paper or on their computer each individual fills out a lengthy anonymous questionnaire about another. Everything can be probed: personality; the way a person deals with others; leadership skills, talents,

values and ethics. A week or two later, the person being assessed is given the results and the chance to compare how his or her self-perception squares with those who know him or her best. The Chairperson or the Dean can help the appraisee change-if anything is required-with respect to the results. Most people will be surprised by the results (O'Reilly, 1994), but they still have to be prepared to listen to and accept other people's opinion of them and willing to modify their tactics in response "Willingness is the primary determinant of how much change will result" (Grote, 1996, p. 289).

360 degree appraisal has a sound theoretical base because it has built into it a form of triangulation which helps to ensure the validity in data collection and reliability of findings. Triangulation may be defined as the use of two or more methods of data collection in the study of some aspect of human behavior. Triangular techniques in the social science attempt to map out, or explain more fully, the richness and complexity of human behavior by studying it from more than one stand point (Denzin, 1970; Coolican, 1996). It is also argued that triangular techniques will help to overcome the problem of "method-boundedness" as it has been termed (Cohen and Manion, 1994, p. 234). It is implied that 360 degree feedback is similar to the process of triangulation since it uses information from a wide range of sources on various aspects of the subject's performance and behavior (see Figure 2-2). The following, minimizes bias due to the broad spectrum of appraisers rather than an exclusive reliance on one source (Coolican, 1996). An example could be the Immediate Supervisor appraisal whereby bosses may feel incapable of fairly evaluating the unique contributions of each subordinate.

The advantages of 360 degree feedback are numerous. Feedback provides a comprehensive viewpoint on the impact an individual has over people he or she is working with. It also gives individuals the opportunity to benchmark his or her perception of themselves against that of others. For all extents and purposes it appears a fair source of information as bias is minimized (Kermally, 1997) due to triangulation and the broad spectrum of appraisers.

However, like all appraisal methods 360 degree evaluation has certain disadvantages. To date there have been problems in most schemes, the process is time consuming and to analyze the retrieved data there must be trained researchers (Longnecker, 1989; Gomez-Mejia et al., 1995; Kermally, 1997). The decisions involved in whether to change the manager with whom employees are not satisfied, needs careful evaluation, e.g. if all the subordinates are happy, but the superiors are unhappy, in which direction must the appraisal move? Also the possibility of vindictiveness by appraisees must be addressed in a way to remove the 'I got a bad review so I am going to give you one in return'.

Despite these drawbacks, electronic 360 degree assessment instruments will probably replace paper-based systems before too long (Grote, 1996). Computer-developed assessment processes allow the input of far more raters to be collected and analyzed than is feasible manually. They allow a large amount of variables to be included in the collated data, they distinguish people who have known the ratee for a long time compared with people who are of a more recent acquaintance (Grote, 1996), they compare the appraisee's with other colleagues, and they separate the male's opinion from the female's. This can be carried out using a statistical package, for example SPSS.

To successfully implement a 360 degree feedback system into an educational setting, firstly the system must be carefully thought out before it is implemented. All of the employees must be informed of how this system would work and what are the reasons for introducing it, as knowledge usually aids compliance (Karkoulian, 2000). To reduce the risk of prejudice and bias, 360 degree feedback can be introduced as part of a management development initiative, and participants are encouraged to focus not only on tasks but on relationships (Kermally, 1997). The next stage involves thorough training of staff who will conduct the appraisals, for they need to be instructed on collating the data, analyzing it, and promoting the system throughout the institution. It

is fundamental to positively market the method in order to encourage participants openness with regard to being the appraiser and the appraisee, and ensuring that participants are actually willing to be part of the project (Robbins, 2001).

Robert Burns said "O wad some Power the giftie gie us; To see ourseles as ithers see us!" (Burns, 1785). 360 degree feedback provides this gift. It allows the appraisee to see himself or herself as others see them. It is more powerful than the immediate supervisor appraisal and can help in the development of faculty members. Most of the participants prefer to have a multi-rater process because it minimizes bias and hence creates a system whereby they are more fairly evaluated. The fairness of evaluation is a highly important factor in the appraisal, since the results may affect salary increase and promotion.

In conclusion the literatures on appraisal indicated that the most outstanding form of appraisal is 360 degree as it eliminates bias and provides a near accurate appraisal. Each method has its advantages and disadvantages, and the choice of a given appraisal system should depend on the appraisal's primary purpose (Gomez-Mejia et al., 1995).

Views of Appraisal in Higher Education

The best anyone can hope is to match an appropriate appraisal method to a particular performance appraisal goal. One of the main performance appraisal goals is job enhancement and professional growth for the individual and in effect for the organisation as a whole. Studies have been conducted in Higher Educational institutions; the study by Hutchinson at the University of Ulster (1995), the study at the University of Wessex (1998), and the study by Rutherford at the University of Birmingham (1988). The following section is designed to reference studies conducted at higher educational institutions by Haslam, Bryman and Webb (1992; 1993a; 1993b), and Smith (1995).

Smith (1995) refers to the start of appraisal in British universities as being fostered by the Jarrett Report to the Committee of Vice Chancellors who proposed that universities should adopt a more systematic and management style of governance. In February 1987 the '23rd Report' from Committee 'A' of the CVCP (Committee of Vice-Chancellors and Principals), the committee which recommends national salary scales to the Government, stated its commitment to a systematic staff appraisal. The following was a condition of the 1987 pay settlement. Implementation of appraisal has been variable and studies started since then to evaluate university staff appraisal schemes in various universities.

Staff opinion regarding the introduction of a performance appraisal system within a university setting was examined in 1992 by Haslam, Bryman and Webb (Haslam et al. 1992). The study involved a national telephone survey of all the institutions and four in depth case studies in selected universities, the researchers used questionnaires and interviews with appraisers, appraisees and senior managers. They reported mixed feelings towards the introduction with some staff being positive, whilst others felt quite skeptical about the aims of appraisal and its implications for career development within academia. Staff in favor of appraisal regarded the emphasis of the scheme on the individual staff development, they expected to benefit in terms of clarifying expectations and providing useful feedback. Moreover, they felt that systematic appraisal may end up in greater accountability, improved motivation, and the identification of training needs. On the other hand, the appraisal process was viewed, by some participants, as time consuming, costly to administer, and possibly having adverse effect on staff morale. Many noted that the appraisal process is not supported by ample opportunities for career advancement, hence they were skeptical about its greater efficiency potential and improved staff performance.

In 1993, Haslam, Bryman and Webb (1993a) conducted a study that was designed to evaluate staff appraisal schemes as they began to operate in British universities. The study involved a national telephone survey of all the institutions and four in depth case studies in selected universities, the researchers used questionnaires and interviews with appraisers, appraisees and senior managers. The study recognised the response of the university to the need of developing staff appraisal systems and established the aims and objectives of the schemes as well as their impact at the institution itself. The staff that favored the introduction of an appraisal system emphasized the identification of additional training, the potential for increased staff motivation and the need for both the university and staff to be more accountable for their actions.

Haslam, Bryman and Webb (1993b) reviewed the "Function of Performance Appraisal in United Kingdom Universities" at the Departments of Epidemiology and Public Health, Leicester University UK and the Department of Social Sciences, Loughborough University, UK. The study involved a national telephone survey of all universities and university colleges and four in depth case studies in selected universities, the researchers used questionnaires and interviews with appraisers, appraisees and senior managers. The study concluded that in general university staff feel that appraisal has little impact on their motivation, efficiency and performance: which provided a valuable picture of performance appraisal in universities in the United Kingdom as it displayed the concerns of the staff regarding promotion and merit awards. One possible reason for the little observed impact may be the ambiguity of intentions surrounding staff appraisal conduced in universities, since staff appraisal is neither a management tool, nor a focus on staff development. However, the staff did recognise the benefits of an appraisal system and believed that it should be included in the future planning of departments.

An additional contemporary study titled "Staff Appraisal in Higher Education" was conducted at Nene College, Northampton (Smith 1995). The study used questionnaires and semi structured interviews. Questionnaires were circulated to appraisers and

appraisees. In the survey result, most appraisees thought that their appraisers should be their line manager(s) rather than peers and that classroom observations should be included as part of the appraisal system to create a fair result. The comparison of the survey results with appraisal experiences in other institutions confirmed major issues of concern, which included the importance of organizational commitment, the provision of adequate resources, the effects on the role of department heads, the setting and communication of clear and limited goals, the consistency of good practice, the provision of adequate follow up to appraisal interviews and the costs incurred in the operation of appraisal system.

Each of these articles provided useful information into the current situation of appraisal in higher education. They highlighted key issues that were at the center of the debate for the introduction of different appraisal methods at higher educational institutions and gave constructive viewpoints from their respective institutions.

Professional Development

The initial point for relating professional and organisational development to performance should be needs identification measured against performance criteria (Riches, 1997). Professional development is one aspect of learning and a way in which practitioners can understand the need to change. This involves continual learning, whether formally or informally (Nicholls, 2001). Professional development may be defined not only as an outcome of individual benefit but rather a means of facilitating the attainment of other educational objectives (e.g. improvement in the quality of student learning experience) (O'Neill, 1994b). Professional development has many aspects and facets to its name. Within higher education much of the discussion relates to learning, whether this be life-long learning, organizational learning or discipline-based learning. Higher education concentrates on learning, both of students and academics (Nicholls, 2001). Professional development is a continuing process that consists of activities that enhance professional growth. It may include workshops, conferences, researches, and consultation with peers and experts. Since its primary

purpose is to benefit the individual, professional development should be planned and managed by the individual (Imel, 1990). Professional development plans also provide a framework for the discipline and commitment needed to achieve the planned changes inherent in any professional development program (Jones and Lowe, 1985). In an educational setting, professional development is embedded in the reality of schools and the educators' work and designed with educators' input (Clair and Temple, 1999). According to the authors, professional development, if effective, fosters critical reflection and meaningful collaboration. They also conclude that there is a growing evidence that professional development approaches, which are guided by teacher input and that view teacher learning as continual and transformative makes schools a better place for students and staff (Clair and Temple, 1999).

Bollington, et al. (1990) highlighted the connection between appraisal and school development. They suggest that linking appraisal and school review can result in a more powerful school improvement strategy because teachers can set their own appraisal within the context of the school's appraisal. Therefore, appraisal can be viewed as developmental (Stoll and Fink, 1996). As asserted by Bell (1988a), the rationale behind the introduction of any staff appraisal system into a primary school is its main intention to provide opportunities for the educator's professional development. According to Hutchinson (1995), staff appraisal not only ensures that every member of staff is fulfilling their job requirements, but it actually improves their performance; thereby, contributing to the raising of educational standards.

At this point it is important to discuss staff development and see whether there exist any differences between staff and professional development. Staff development often has been based on a model of individual deficiency (Shroyer, 1990). According to this model, staff development provides faculty members with knowledge and skills they lack. In addition, staff development has generally treated teacher learning and improvement as an individual responsibility (Smylie and Conyers, 1991). Even though mentoring and coaching make staff development a more collective activity, such

techniques continue to suggest that problems of practice and their solutions reside at the level of the individual educator (Little, 1990). Jones and Lowe (1985) propose that staff development provides the means for Instructors to experience continuing education as part of a team professional. Staff development in this definition is viewed as related to the needs of staff within a given institution. Staff development targets the whole staff with emphasis on the priorities of the institution or functional groups on a medium-term basis (O'Neill, 1994b). However, professional development is the broader career and personal development of the individual (Jones and Lowe, 1985). It targets individuals or groups having similar needs for the purpose of career-oriented personal needs with the focus being placed on a longer-term. (O'Neill, 1994b).

The future of staff development is perceived to be set around important changes that likely enhance its effectiveness. Instead of addressing individual deficiencies in knowledge and skills, staff development will begin from the base of teachers' competencies and build upon them. Another important change is the shift of staff development from an individual to a collective endeavor based on the belief that teachers are jointly responsible for their work and that their wisdom and experiences are professional resources (Smylie and Conyers, 1991). Collaboratively, faculty members can identify and define problems, study them, and craft and assess solutions. The growing demands on educators suggest that teaching can no longer be viewed as an individual activity. It must be considered a collective enterprise. Educators will have to work and learn together to be successful in their classes (Smylie and Conyers, 1991). If teachers are to meet the rapidly changing needs of their students, their practice cannot be prescribed or standardized (Devaney and Sykes, 1988). The immediate goal of staff development is to improve performance, whilst the ultimate goal is to improve quality of teaching and learning (Bolam, 1987).

According to Abdal-Haqq (1996), for many years, educators have used university course work to improve individual skills and quality for salary increases, and to meet certification requirements. Professional development rewarded educators with personal

and professional growth, greater job security and career advancement. However, in recent years we have seen growing appreciation not just for individual development but for the potential impact of professional development on the overall educational institution (Abdal-Haqq, 1996). Moreover, professional development is a development perspective where the dominant center is the professional capability (O'Neil 1994b).

The performance development system requires supervisors to regard the needs of staff development (Murdoch University, 2001). Performance development plans require resources. These resources might include print and non-print material and staff development opportunities like workshops and conferences (Imel, 1990). Effective professional development occurs in a school or college environment, which encourages individuals and groups of staff to engage in and then have successful experience of problem solving within the institution (Holly and Southworth, 1989). This would be followed by feedback session, which is an important aspect of successful professional development (Smith and Bowes, 1986).

Professional development has been addressed in higher educational institutions with more effective development planning processes. A staff development policy should be made in order to provide opportunities for faculty members to pursue their own learning needs as well as educational institutional needs. According to Bush and Middlewood (1997), such a policy will ensure that time is provided for discussion, reflection, mutual observation, curriculum development and coaching and mentoring activities, as well as the more workshops, conferences and researches i.e. more publications.

Based on a study by Alfano (1994), some of the USA community colleges have developed strategies for faculty development and have tied faculty development to the evaluation process. For example, Oklahoma Junior College has developed a novel approach as part of a peer evaluation process. Peer coaching, which is assumed to guarantee a non-threatening environment, is linked to a complementary staff development program. The Minor-Preston peer coaching model allows Instructors to

receive direct instruction from their expert colleagues and to keep important long-term faculty experience from being lost from the college (Minor and Preston, 1991 as cited in Alfano, 1994). Collaborative and individual staff should be involved in identifying their professional developmental needs. The following will in turn lead to a better appraisal.

Mentoring

Mentoring to enhance professional preparation is not a new idea. It can be traced back to ancient Greece and Homer's *Odyssey,* where Mentor was the teacher entrusted by Odysseus to tutor his son, Telemachus (Lattimore, 1967). This provides an image of the wise and patient counselor serving to shape and guide the lives of younger colleagues. This image is described in many recent definitions of mentoring (Bush, 1995). Ashburn et al. (1987, p. 1) defined mentoring as "the establishment of a personal relationship for the purpose of professional instruction and guidance". Philips-Jones (1982, p. 21) referred to mentors as "influential people who significantly help you reach your major life goals".

Mentoring, a form of training can be defined as a relationship between an experienced and a less experienced person in which the mentor provides guidance, support, and feedback to the mentee (learner) (Haney, 1997). Mentorship is part of the nurturing needed by adults at different career and life stages (Daresh and Playko, 1992a). Mentoring is useful, especially for new faculty members, in understanding and learning about the organisational culture (Luna and Cullen, 1995; Bierema, 1996). It is a particularly labour-intensive and intimate form of professional induction where much of the work is carried out on a one-to-one basis. Mentor training places trainer and trainee in a close personal relationship, which includes feedback and negotiating the trainee profile of professional development (Brooks, 1996). Hence, mentoring is a means to support professional growth and development, which in turn empowers faculty members as individuals, and thus benefits the educational institution (Luna and Cullen, 1995; Bush and Middlewood, 1997). Luna and Cullen (1995) argue that

mentoring provides access to informal and formal networks of communication. Mentoring in both formal and informal settings can be very powerful in encouraging a climate of equal opportunities. In professional development, especially of women, it provides individuals with someone who can give feedback, an opportunity for discussion and critical feedback (Bush and Middlewood, 1997).

During the early 1990's, potential value of mentoring as a feature of professional development for educational personnel was more thoroughly appreciated (Krupp, 1984 as cited in Daresh and Playko, 1992a). Wise, mature mentors have always been around to help new teachers learn their craft in ways that were not usually covered in teacher training programs (Gehrke and Kay, 1984). Focus is placed, with considerable regularity and visibility in educational institutions, on the development of formal, structured, contrived, and institutionally supported mentoring programs. Mentorship has become the central focus of many proposals to improve induction for beginning educators for the potential value derived from mentoring programs. Mainly, teachers are becoming more effective, gaining self-confidence, learning technical aspects of their jobs, understanding better the expectations of administrators, developing creativity, and working effectively with others (Daresh and Playko, 1992a).

In the past, mentoring typically happened when experienced people recognized and developed new talent or when beginners sought the counsel of knowledgeable elders. Now under the new mentoring paradigm, protégés are better educated but still need a mentor's practical know-how and wisdom that can be acquired only experientially. Therefore, many organisations are instituting formal mentoring programs as a cost-effective way to upgrade skills, enhance recruitment and retention, and increase job satisfaction (Jossi, 1997).

In teaching institutions mentoring programs pair novice teachers with outstanding experienced teachers who can explain school policies and practices, share methods and materials, and help solve problems (Anon, 1995). By utilizing the knowledge of 'old-

hands', the novice can perhaps learn and be guided in quicker and easier fashion than if left to themselves. Preliminary and concurrent training or consultancy is essential if headteachers and teachers are to be adequately prepared for, and supported in, the tasks of development planning or any related approach to the management of change and school improvement (Hargreaves and Hopkins, 1994).

It is highly encouraged that mentoring programs be promoted as a way to bring experienced headteachers together with less experienced colleagues. In the UK, relationship between classroom teachers and headteacher is maintained, and the headteacher is viewed as a member of the instructional team and not as an outside administrator (O'Neill, 1994a). However, in the USA there is a tendency to look at the role of the principal as a person allied with formal administrative responsibility quite distinct from the roles and expectations of teachers. Despite some of the differences among the traditional practices of educational management in the USA and the UK, there is a common appreciation value for mentoring schemes that may be available for individuals in the earliest stages of their careers (O'Neill, 1994a).

Daresh and Playko (1990) have found some of the most important characteristics for effective mentors. Good mentors should be in the first place good educators and good motivators. They should be sensible to the individual needs and stated goals of those being mentored. That is to say mentors have to be caring and giving people who are truly committed to the enhancement of the professional lives of beginners. Effective mentors are able to ask right questions to those with whom they work and not just provide right answers. Most importantly, to be effective, mentors should try to express the desire to see people go beyond their present levels of performance, even if it might mean that they will be able to perform better than the mentors themselves. Mainly, mentors must accept other ways of performance, and avoid the temptation of telling candidates that the right way to do something is 'the way I used to do it'. According to Montgomery (1991), even when individuals want to serve as mentors and possess all the desirable characteristics of effective mentors, they still need additional training to

carry out this crucial role. Training includes activities related to the identification of alternative leadership styles, interpersonal communication skills, and effective instructional leadership practices. One area identified as important in training is the area of interpersonal skills which appears to be the quality that counts most in mentoring (Brooks, 1996). Although some mentors may be naturally equipped with the skills of mentoring, such stock of natural talent cannot be relied on to achieve effective mentoring. Therefore, there is a need for training which can build skills, knowledge and qualities which are additional to those needed for effective educators but which may enhance educator effectiveness (Sampson and Yeomans, 1994).

Given the importance of relationships in learning, none of the mentor's roles can be effective if the mentor lacks the ability to form appropriate helpful relationships. Help in the educator's role in mentoring has a very different meaning from the normal social sense of the word. This type of help, as in helping someone to learn, has been variously described. Williams and Burden (1997) call it 'mediating', Tomlinson (1995) refers to it as 'influencing'. Freeman's (1990) term 'intervention' describes what mentors do, since it highlights the idea that everything a mentor says, does, or even arguably is, will make a difference to a mentee's development. In the educator's role, helpful behavior might include, encouraging explicit talk about the mentee's beliefs, and providing selected data either from observational, theory or the mentor's own experience. This is designed to challenge and provide the mentee with a more complete conceptualization of the particular teaching focus in question (Malderez and Bodóczky, 1999).

"By not mentoring, we are wasting talent" (Wright and Wright, 1987, p. 207). Faculty mentoring focuses on developing and empowering faculty members and benefiting the educational institution that leads to commitment within the university. In such an institution, university wide climate for mentoring must be established with faculty members' assistance and input. They must be involved in the design and implementation of strategies and plans for mentoring. Mentoring might need to address the concerns and needs of new female and minority faculty members so that they feel

comfortable within the academic environment, which has implications beyond the scope and content of this research (Luna and Cullen, 1995). Therefore, mentoring becomes a general rule that is central to the operation of a higher institution since it is an activity which will be of benefit to all (Wilkin, 1992). Faculty members should strive to develop their capacity to learn from and support the learning of others. Mentors may also guide the professional development of new faculties by promoting reflection and fostering the norms of collaboration and shared inquiry (Feiman-Nemser and Parker, 1992). Mentoring also provides a unique source of personalized information that is specific for the task at hand. It may have taken the mentor two years to come to terms with a difficult task but he or she can pass on this information and the trainee can learn in a shorter period of time and hence improve their professional growth.

The success of mentoring depends on the strength of the interpersonal relationships and the informality of the process. Mentoring, both formal and informal, can be very powerful in encouraging a climate of equal opportunities and in the mentors professional development (Coleman, 1997). According to Kerka (1997), mentoring supports much of what is currently known about how individuals learn, including the socially constructed nature of learning and the importance of experiential, situated learning experiences. Learning is most effective when situated in a context where new knowledge and skills will be used and individuals construct meaning for themselves within the context of interaction with others. Functioning as experts, mentors provide authentic, experiential learning opportunities as well as an intense interpersonal relationship through which social learning takes place (Kerka, 1998).

Gender and Mentoring

As organisational diversity increases, the question whether mentoring is a vehicle for assimilation and exclusion arises. The personal relationship at heart of mentoring can be problematic when mentor and mentee are of different genders (Kerka, 1998). Ensher and Murphy (1997) found that perceived and actual similarity affected the

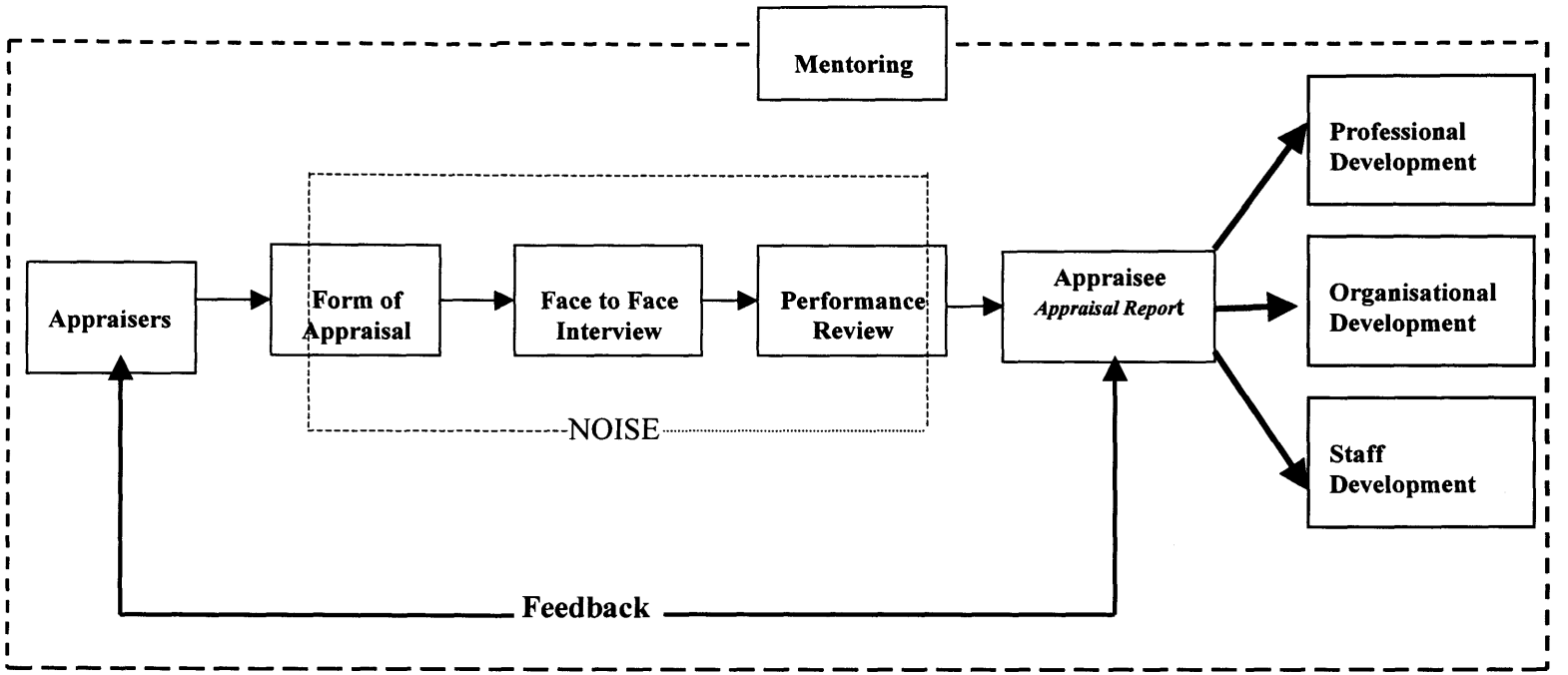
amount of instrumental and psychological support mentors provided as well as the protégé's level of satisfaction. Although there are variances within geographic regions, ethnicities, and occurring changes, there is still a reinforced general dominant culture regarding gender (Birge et al., 1995). As aforementioned, the emphasis of mentoring relationships is to build significant connections between mentor and mentee. Therefore, it is important to shed some light on how men and women communicate differently when setting up the structures of mentoring programs. Verbal communication is the most often identified, and differences in this area were recognized (Birge, et al., 1995). For example, women tend to organize their talk co-operatively, whilst men tend to organize their talk competitively (Coates, 1986). Men and women both interrupt but they do it in different ways. Men interrupt most often in an attempt to steer the conversation toward their own point, whilst women will interrupt with nods and noises of affirmation most often in an attempt to support and give encouragement to the speaker (Tannen, 1990). Therefore, when cross-gender relationships are anticipated, gender specific styles of communication should be introduced in orientation and training so that the mentor and the mentee have a high potential to fully benefit from the relationship (Birge, et al., 1995).

A Model to Conclude Performance Appraisal

In any organisational setting effective communication is essential to create a general atmosphere of understanding and to enhance employee contributions (Sherman et al., 1998). According to Sherman et al. (1998), providing an inadequate communication system is the most frequent mistake that companies make during implementation. It is essential therefore to discuss a model that could support performance appraisal. Figure 2-3 summarizes the performance appraisal. The following model was designed to support faculty members with a better understanding of performance appraisal in higher educational institutions. The researcher developed the Performance Appraisal model on the basis of the reviewed literature presented in this chapter. The model serves as a conclusion to the literature review on performance appraisal

Figure 2-3

A Model of Performance Appraisal



The model commences with the identification of the appraiser. The main concern at this stage is who should perform the appraisal. Interestingly, the increased number of appraisees is expected to cancel biases and combine perspectives to end up with a complete picture of the appraisee's performance. Appraisees who occupy different organizational positions tend to perceive different aspects of an individual's performance, when the variations are taken together the result is a more complete appraisal (Mohrman et al., 1989; Middlewood, 1997).

The second step in the model is choosing the appropriate appraisal form, which may include 360 degree appraisal, upward appraisal, team appraisal, peer group appraisal, etc. According to the literature review, 360 degree could be used as the best form of appraisal in higher educational institutions. Chairpersons, deans, supervisors, other faculty members' colleagues, and students are involved in the 360 degree appraisal process (University of Wessex, 1998).

Following the selection of the appraisal form, the appraiser conducts face-to-face interviews with the appraisee. During the interview the appraiser explores key points, which may include:

- Achievements in personal and professional developments
- Last year's objectives (successes, difficulties and changes, etc.)
- Skills and strengths on current job
- Other skill, abilities, and strengths
- Key objectives in the job for the next 12 months
- Development and training needs
- Obstacles
- Medium and long term development

(University of Wessex, 1998)

These discussion points appear to concur with the appraisal interview questions suggested by Bell (1992, pp. 136-137) when discussing the staff appraisal in secondary schools. The questions deal with the teacher performance in the present post. Moreover, if the interview covers future opportunities, the areas to be explored then can include opportunities like new tasks, more demanding jobs, and possible ways to develop new skills.

At the performance review phase the collected information from various questionnaires along with the results of the face-to-face interviews will be analyzed by the Chairperson or the one in charge of this procedure and translated into a form that can be understood by the receiver (appraisee). The performers can assess how well they are performing through the received oral or written comments, the achieved results, and the performance factors that contributed to their accomplishment and development (Grote, 1996).

The fifth phase of the performance appraisal cycle is the appraisee, where the performance review is delivered to inform the appraisee about his or her performance and potential (Grote, 1996). Some companies do not communicate the appraisal results to the individual, despite the general conviction that subordinates have a right to know their superior's opinion in order to correct their weaknesses (McGregor, 1990).

This probably results in a feedback loop. At this point the appraisee transmits his or her response to the appraiser. Feedback checks the success in understanding the message. The appraisee responds by either changing his or her performance or by continuing to perform in the same manner. At this stage the appraiser will observe one of these reactions: agreement, disagreement or apathy. The appraisee might become defensive if he or she receives a negative appraisal or criticism. However, some appraisees agree on the appraisal result and in effect will work to improve their performance. In case of negligence, the appraisee reacts neutrally without intending to change his or her performance (Robbins, 2001).

However, if feedback is provided only during an annual performance review, it is probably not timely enough to be effective. Moreover, a feedback that is not specific, e.g. "good job", will fail to make its contribution to the effectiveness of the human performance system (Rummler and Brache, 1995, p. 72). A manager or analyst therefore must be able to adopt the formal performance appraisal form or process. The following will accommodate for people by getting the feedback they need when they actually need it (Rummler and Brache, 1995).

Throughout this system noise will interfere. The term noise generally refers to the concept of noise that is related to personality and perceptual or attitudinal individual differences, which compound and complicate to a varying degree the ability of individuals to trust one another. Many noises could occur during the process ranging from emotions, to language, to selective perception, etc. The following could lead to misunderstanding between individuals (Kreitner and Kinicki, 1998). To minimize noise, better understanding of appraisal systems and forms by both the appraiser and the appraisees is recommended.

The model further links appraisal to staff, professional and organisational development. Appraisers should have a responsibility to ensure the appraisees development (Fiedler, 1995). According Mohrman et al., (1989), clear and explicit instructions on how to conduct appraisal and how to develop performance are crucial.

The model links appraisal to professional development. The initial point relating professional development to performance should be needs identification measured against performance criteria (Riches, 1997). As asserted by Bell (1998a), the rationale behind the introduction of any staff appraisal system in a primary school is its main intention to provide opportunities for the educator's professional development.

The performance appraisal model further links appraisal to staff development. According to Stoll and Fink (1996), appraisal can be viewed as developmental. Furthermore, appraisal is mainly seen as a staff development tool rather than a method of determining pay (University of Wessex, 1998).

The model finally links performance appraisal to organisational development. Bollington, et al. (1990) highlighted the connection between appraisal and school development. They assume that linking appraisal to school review can result in a more powerful school improvement strategy.

Mentoring is integrated in the performance appraisal model. Kelly et al., (1992), cited in Coleman (1997), state that potentially a very strong link exists between mentoring and staff development. Mentoring and coaching makes staff development a more collective activity (Little, 1990). Moreover, mentoring is related to professional development. According to Coleman (1997), the impact of mentoring may reach beyond the induction process and become grounded in wider professional development. Moreover, according to Luna and Cullen (1995), mentoring also empowers faculty members as individuals, and thus ultimately benefits the educational institution.

The performance appraisal model may be summarized by the following quotations:

"The introduction of an appraisal system directed towards developing staff potential, assisting in the improvement of performance and enhancing career and promotion opportunities, thereby improving the performance of the institution as a whole" (Smith, 1995, p.189).

"Performance enhancement through staff development and school development still for me remain the most important targets in introducing an appraisal scheme and all the school staff should become part of the process" (Montgomery, 1991, p.42).

By using the suggested model (Figure 2-3), a university could improve its performance appraisal. In effect, appraisal provides a situation where efforts are acknowledged and feedback on performance given. The following leads to "better understanding between manager and staff" (Edis 1995, p. 62).

Conclusion

Model 2-3 developed by the researcher serves as a conclusion to the literature review, for it summarizes the performance appraisal process in addition to the outcome of the appraisal on the organisation and its members. The literature review in turn shaped the objectives and four of the key questions of this study. Key question one deals with the appraisal system at LAU, and the impact of the current appraisal scheme on promotion and motivation, which were thoroughly discussed in the literature review chapter specifically in the section titled The Purpose of Appraisal. Moreover, key question two dealt with the relation between appraisal and the appraisee and the role of the department heads in the appraisal scheme, the following was covered in three sections titled Management By Objectives, Human Resource Management, and Performance Management. Key question four dealt with professional development as a tool for empowerment, growth and promotion, which were in turn reviewed in the Professional Development section. Key question five dealt with faculty members' involvement in decision making and how mentoring helps promote professional development, which was also reviewed in the Mentoring section and in the Professional Development section.

Presently, in Lebanon, no research is conducted with respect to performance appraisal within higher educational institutions. On the other hand according to Middlewood (1997, p.171) "Appraisal of teachers and lecturers is well established in schools, colleges and universities in the UK, USA and Australia". Therefore, it is essential to implement performance appraisal research in Lebanon. The following implementation is expected to further improve universities and thus position higher education institutions at the center of educational excellence. Educational institutions cannot be

taken seriously with claims "to have concerns for people and educational standards if it does not apply to itself a proper consideration of its performance" (Bush and Middlewood, 1997, p. 169).

The researcher constructed a questionnaire and conducted semi-structured interviews in order to establish an effective appraisal system within a Lebanese university setting. The following chapter discusses the methodology of the thesis.

Chapter Three
Methodology and Research Design

This chapter details the methodology, and the sample size, and discusses the construction, implementation and analysis of the questionnaire and the semi-structured interviews.

Focus and purpose of Investigation

The focus of this investigation is performance appraisal in higher education at LAU. As a full-time faculty member at LAU the author was well placed to pursue discussions about performance appraisal in higher education.

The research began in September 1998 when the first requests for interviewing were presented to the Dean of the Business School as well as the Director of Personnel at LAU. They were both interested in the research topic and requested a finalized copy of the study. Permission to carry out the new plan investigation (the semi-structured interview and the questionnaire) was sought and obtained at an early stage from the Dean of the School of Business and from the Dean of the School of Arts and Sciences in January 1999. This was done in order to have access and acceptance by establishing the researcher's ethical position with respect to the proposed research (Bell, 1987; Cohen and Manion, 1994). All participants were informed about the purpose of the investigations as well as the importance and aim of the study. The researcher submitted a brief outline of the research purpose and the methodology to the participants who were informed that the topic would later be the subject of a thesis. The consent was obtained on both the questionnaire form and the interview schedule. This process established the researcher's ethical position with respect to the proposed research.

The primary aim of the study was to investigate the existence of a formal appraisal scheme at LAU and examine whether or not it differed from appraisal schemes at other educational institutions and other large commercial organizations. Furthermore, the researcher aimed at exploring faculty members' views and past experiences regarding the current system and their possible suggestions and recommendations for introducing a regular and systematic appraisal scheme.

Key Questions

The researcher identified five key questions. The identified key questions generally explored how faculty members perceive the performance appraisal at their institution.

- **Question One:** How does the appraisal system work in LAU and how does it affect faculty members' promotion and motivation?
- **Question Two:** What is the role of the departments' heads in appraisal and what is their relationship with the present faculty members?
- **Question Three:** In what ways did faculty members' think the existing appraisal system could be improved?
- **Question Four:** How might professional development be used as a tool for empowerment, growth and promotion?
- **Question Five:** How might faculty members' involvement in decision making and mentoring help promote their professional development?

Importance of the Study

The study contributes to research in the field of performance appraisal in higher educational institutions in Lebanon. Due to the lack of relevant literature on performance appraisal in higher educational institutions in Lebanon, the researcher based her references on previous researches conducted mostly in the U.K. and USA. Therefore, the lack of such research in Lebanon gave the topic its priority to the researcher.

One of the main motives for conducting this research was the dissatisfaction of the researcher, being a faculty member at LAU, with the current appraisal system. Thus, the researcher was interested in investigating whether other faculty members held the same views. The importance of this research is that it can ascertain the intentions of participants to share their experiences. This case study would open new horizons for researchers to further what might be a more effective appraisal system.

As an American Institution, LAU provides theoretical as well as practical applications of management concepts that have been created in the Western Hemisphere but are being applied in the Arab world. The interest in taking this particular example is to access the applicability of such western created models to a higher educational setting especially in Lebanon.

Research Design

Early Attempt to Design the Study

When approaching this project in September 1998, the intention was to carry out a blanket survey of academic and academic related staff in four universities in Lebanon on the subject of faculty members appraisal and review scheme, to identify the attitudes of staff to the scheme, to investigate whether there were links between those attitude variables such as years of service, sex. It was planned to survey 200 faculty members on the basis of convenience or snowball sampling from the following universities: Lebanese American University, American University of Beirut, Kaslik University, and Notre Dame University. The choice of these four universities was based on the decision to select universities that follow the American system. The selection of the sample was based on choosing the nearest individuals as respondents and continuing in that manner until the required sample size was reached. This method was chosen because, according to Cohen and Manion (1994), "captive audiences such as pupils or student teachers often serve as respondents in surveys based on convenience sampling" (p.88).

To gather information, questionnaires were distributed and interviews were carried out. Unfortunately, despite knowing few of the respondents personally and despite approaching faculty members more than once, there was a very low response rate to the questionnaire. Two hundred faculty members were mailed a package containing the questionnaire as well as the cover letter describing the importance and aims of the study. They also received a postage paid envelope to return the questionnaire. The participants were informed that they would remain anonymous, and all the information would be treated in the strictest confidentiality. The Deans of the four universities were promised a copy of the study. Two weeks later a follow-up visit took place, asking non-respondents to participate in the study. Still the response rate was very poor and only 10 out of the 200 chose to participate.

The initial design of the study also included a plan to interview a sample of thirty educators chosen from the above-mentioned universities. According to Cohen and Manion (1994), there is no clear-cut answer for the correct sample size because this depends upon the purpose of the study and the nature of the population under study. They suggest a sample size of 30, which is considered by many as the minimum requirement if the researcher plans to use statistical analysis on the data. However, techniques are available for the analysis of samples below thirty (Cohen and Manion, 1994). Another reason for choosing such a minimum sample size was the expense and time required for conducting the necessary research. In addition, university staff are not available at all times, and sometimes cannot be reached. Therefore, the estimated average time required per interview was six hours taking into consideration commuting time. For 30 interviews, this makes a total of 180 hours. With a very poor response rate from universities reaching only 10 out of 200, a change of plan had to be implemented (January 1999).

The New Research Design

The new plan entailed, first, distributing the questionnaire to all teaching staff members at LAU Beirut and second, conducting semi-structured interviews with faculty members (March 1999). The intention was to gain a greater response level. Besides, it was easier

to arrange meetings with fellow faculty members than with members at neighboring universities. This sample was thought to allow a higher rate of response based on the expectation that most of the contacted fellow faculty members would respond, thus the level of response would allow for more reliable findings. However, by restricting the sample to only one university, the researcher would no longer be able to generalise from the findings. The plan was implemented and 217 teaching staff members were approached and given the questionnaire. By July 2000 the response level was extremely poor (20), however, with consecutive follow-up visits by the researcher the level of response increased but the level of compliance was still poor (40). During July 2000, with the appraisal results being presented in the faculty contract as increments and adjustment for the academic year 2000-2001, it was anticipated that most of the faculty members would be then induced to participate in the questionnaire due to heightened awareness of the topicality of the subject. The researcher approached the respondents with follow up visits thus taking advantage of the heightened awareness and in September 2000 after consecutive follow up visits, the sample size reached 80.

Part of the research design was an investigation to collect and explore a variety of educators' viewpoints and opinions. The following was based on their past and personal experiences concerning the performance appraisal of academic staff at the university. As such, the methodology was designed to elicit and analyze participants' viewpoints in an effort to find or agree on a procedure that would ensure that faculty development would be the key purpose of any appraisal undertaken.

This study was organized into three interrelated stages:

- An initial round of discussion with a range of responsible bodies, including the Dean, Chairperson, Professors and Instructors.
- Distribution of a questionnaire to LAU faculty members.
- Visiting the 40 participants in order to undertake in-depth interviews and to check and cross-validate information gathered in the questionnaires.

This research was designed to draw on the strengths of both quantitative and qualitative data. Accordingly, the researcher adopted a questionnaire that comprised quantitative methods through the use of attitude questions and ranking scales. The questionnaire was in turn followed by a semi-structured interview, which was qualitative in nature. The combination of both research methods was adopted because various methods tend to complement each other.

Qualitative and Positivist Research

The thesis is actually within the interpretive paradigm because the researcher was interested in understanding the faculty members' views concerning the current performance appraisal at LAU. The study shed light on participants' views regarding appraisal.

Positivist research de-emphasizes individual judgment while stressing the use of established procedures, thus, resulting in more precise and generalisable results (Coolican, 1996). Positivist research is deductive in nature, therefore, researchers deal directly with operationalisation, manipulation of empirical variables, prediction and testing. This type of research places great emphasis on methodology, procedure, and statistical measures of validity (this is also true for qualitative research). It should be well organized to show the progression from choice of methodology and procedures to data collected, as well as from statistical tests to findings and finally conclusion (Nachmias and Frankfurt-Nachmias, 1996). Positivist research techniques include quantifying phenomena by using various tools to help them such as questionnaires, social surveys or structured interviews. This enables researchers to undertake a large-scale comparative analysis.

According to Bell (1993, p. 91), qualitative research (e.g. interview) "can yield rich material and can often put flesh on the bones of questionnaire responses" It searches for meanings and views held by people. Qualitative research itself represents a field of inquiry covering numerous disciplines, fields, and subject matter (Denzin & Lincoln, 1994). This type of research consists of different methods of interpretation that do not

favor any methodology over another and generates theory from participants' views. This makes it extremely hard to define, but also available for use across many disciplines. The fact that it is interdisciplinary makes qualitative research very important and useful to all (Denzin & Lincoln, 1994).

The Complementary Strengths of Quantitative and Qualitative Methods

Clearly stated approaches (research types) are complementary and techniques may be employed simultaneously in a study (Burgess, 1985; Coolican, 1996). They may be linked in an effort to better understand what is happening, because combining both methods causes the disadvantages of qualitative methods to be overcome by the quantitative methods and vice versa. The researcher gets richer details if he or she uses two methods, since one method can corroborate or confirm the result of the other (Coolican, 1996). Both qualitative and quantitative researchers "think they know something about the society worth telling to others, and they use a variety of forms, media and means to communicate their ideas and findings" (Becker, 1986, p. 122). It overcomes the abstraction or generalization in quantitative studies through strategic comparison across cases and rich depiction (Anon, undated). On the other hand, Bogdan and Biklen (1992) argued that when using the two methods at the same time it is likely to end up with a "big headache". As pointed out by Burgess (1993) there are some obstacles to methodological integration in social research the greatest of which could be the sheer lack of capacity to draw on methods other than the one in which one was originally trained (Biklen & Boghdan, 1992; Denzin & Lincoln, 1994). Another related barrier to integration is the tendency of the various social science disciplines or sub-disciplines to exalt the virtues of their dominant methods and disparage those of other fields (Burgess , 1993).

Case Study

This research is a case study because it examines the characteristics of an educational phenomenon – performance appraisal – in a particular setting (LAU). According to Bell (1993), the case-study approach is particularly appropriate for individual researchers because it gives an opportunity to study in some depth one aspect of the problem. The purpose of such studies is to probe deeply and to analyse intensively the multifarious phenomena that constitute the life cycle of the unit examined with a view of establishing generalizations about the wider population to which that unit belongs (Cohen and Manion, 1994). Case studies are usually carried out within a limited time scale, though some studies are carried out over a long period of time, for example three years (Bell, 1993).

According to Simons (1996, p. 225 as quoted in Bassey 1998b, p. 5) "one of the advantages cited for case studies is its uniqueness, its capacity for understanding complexity in particular contexts". However, a corresponding disadvantage often cited is the difficulty of generalising from a single case. Although it is always dangerous to generalize from case studies because of the contextually bound nature of the study and the limited sample of views sought, according to Bassey (1998b), fuzzy generalization may be possible. This focuses on the transferability of the findings to other contexts. Researchers need to probe the degree to which such findings fit or how far can they be generalized from the case studied to other situations (Miles and Huberman, 1994). Miles and Huberman (1994) referred to three levels of generalization by Firestone (1993): from sample to population (less helpful for qualitative studies), analytic (theory-connected), and case-to-case transfer. The generalizing process is more like translating, refuting, or synthesizing two or more studies of similar phenomena with careful interpretation (Noblit and Hare, 1988 as cited in Miles and Huberman, 1994). Generalization requires connection-making either to unstudied parts of the original case or to other cases so as to examine the transferability of the conclusions of the original study. In this context, Miles and Huberman (1994, p.279) cited the relevant queries to be asked during a generalizing process or transferability of the findings.

Validity and Trustworthiness in the Study

To evaluate performance appraisal systems in a higher educational institution, the researcher used the questionnaire and the semi-structured interview. The use of two research tools in this study was intended to provide a degree of triangulation in the analysis of responses and to deepen further the findings of the questionnaires by decreasing the biases in each method when used on its alone (Denzin, 1970; Coolican, 1996). According to Cohen and Manion (1994), triangular techniques in the social sciences attempt to map out or explain more fully the richness and complexity of human behavior. The following is achieved by studying it from more than one standpoint and, in doing so, by making use of collected data. Exclusive reliance on one method may bias or distort the researcher's picture of the particular slice of reality under investigation.

The questionnaires were checked for content validity. This type of validity refers to the subjective agreement among professionals that a scale logically appears to accurately reflect what it purports to measure. The content of the scale appears to be adequate (Zikmund, 1994). Content validity was checked by asking those who read the interview whether or not the questions asked served the purpose of allowing a proper measurement of what was to be found. Furthermore, reliability was checked by administering the interview twice. Reliability is the degree to which the measures are free from error and hence result in consistent results (Zikmund, 1994). A reliability test was statistically conducted using SPSS to determine the extent to which the items in the questionnaire relate to each other, especially for the newly constructed questionnaires. The test yields an overall index of the repeatability or internal consistency of the scale as a whole. A model to check the reliability is Alpha, which is a model for internal consistency, based on the average inter-item correlation (SPSS version 9). The reliability for all the variables from the Likert scale type questions (question 5 consisting of 17 points; question 6 of 16 points; and question 8 of 6 points) was satisfactory. The result of standardized item alpha = 0.8947 showed an overall reliability of the questionnaire. The questionnaire used was constructed by the researcher based on the review of literature, that is to say this research is a contributory research in this field.

Piloting

Piloting any empirical research is essential to strengthen the validity of a study. Advance planning and preparation is all very well but there is no complete substitute for involvement with the 'real' situation when the feasibility of what is proposed in terms of time, effort and resources can be assessed (Robson, 1993). Care has to be taken in selecting question types, in question writing, in the designing, piloting, and in distributing and returning of questionnaires (Bell, 1993). Piloting is an important part of any research whether using a questionnaire or an interview. Piloting is done in order to check that all questions are clear and in order to remove any items (questions) which do not yield usable data. Piloting helps the investigator throw up some of the inevitable problems of converting the research design into reality. Some methods and techniques necessarily involve piloting in their use. (E.g. in the development of a structure questionnaire or a direct observation instrument) (Robson, 1993). According to Yin (1989), pilot tests help investigators refine their data collection plans with respect to both the content of the data and the procedures to be followed. Piloting is a 'laboratory for the investigators, allowing them to observe different approaches on a trial basis' (Yin, 1989, p. 74).

Piloting the Questionnaire

The questionnaire was piloted in February 1999 with ten academic staff members, one administrative staff member (outside the faculty body) and one computer staff member. In addition, the researcher obtained help from an advisor at Leicester University (Dr. Hugh Busher). The participants were informed of the reasons for conducting the pilot study. Whilst piloting, reliability was checked by administering the instruments twice, the researcher allowed two weeks between the first and the second time in order to test for the stability of the results (Zikmund, 1994). Content validity was checked by asking those who read the questionnaires whether or not the questions served the purpose of the research. The check for validity led to the addition of questions seven through eleven in the questionnaire. Some changes in the wording were made, for example, the words "how useful" were changed to "in what sense", and some questions were divided into two or more to avoid double questions (see Appendix D).

Piloting the Interview Schedule

The interview schedule was piloted in January 1999 with three academic staff members, two full-timers and one staff member, in addition to one pilot test conducted outside the faculty body. The piloting process identified a number of important points. The pilot study was carried out and presented as a third assignment in the EdD Program at Leicester University - Module: RM04: Advanced Research titled "Performance Appraisal in Higher Education".

The pre-interviews with selected key participants assisted the researcher to focus on particular areas that were previously unclear (see Appendix C). In addition, pilot interviews were also used to test certain questions. Furthermore, this initial time frame allowed rapport with participants and established effective communication patterns. By including some time for the review of records and documents, the researcher may uncover some insight into the shape of the study that previously was not apparent (Denzin and Lincolin, 1994).

Sampling

Questionnaire Sampling

For the questionnaire based survey, the researcher adopted a different form of sampling, using the whole population of full-time and part-time LAU faculty members (academic year 1999). The researcher distributed questionnaires to all of the 217 LAU faculty members (March 1999). 80 questionnaires were received out of the 217 distributed questionnaires. The following constituted 36.86% of the chosen sample. The classification of the respondents is presented in Table 3-1 below.

Table 3-1

Classifications of Questionnaire Respondents

Department	Position	Full Time	Part Time
Business School	Professor		4
	Associate Professor	2	2
	Assistant Professor	6	
	Lecturer	2	
	Instructor	4	14
Arts and Sciences School	Professor	4	
	Associate Professor	10	
	Assistant Professor	10	
	Instructor	16	6
Total		**54**	**26**

The non-response error may cause the sample to be less than perfectly representative (Zikmund, 2000). The low response rate, 36.86% of the chosen sample, may mean that the full range of views held by LAU faculty members are not represented in this study. According to Durauti (1997), depending on the history of the community, members may have distrustful attitudes towards interactions, such as interviews, especially when these involve taking notes or audio taping whilst talking to them. When a culture does not have a speech event in its repertoire, local notions of giving information or learning must be taken into consideration for understanding members' reactions to the researcher's attempt to conduct an interview or ask them to fill out a questionnaire (Durauti, 1997). In Lebanon, people generally, do not like to read very much; they are socially driven people who enjoy talking and socializing with others in a loose way rather than filling out documents, especially when asked to write their own viewpoints (Karkoulian, 1999). Consequently the interview seemed to elicit a better response rate than the questionnaire. The interviews allowed the researcher a lot more flexibility, and permitted her to reach results that could not have been reached with a questionnaire.

Interview Sampling

According to Miles and Huberman (1994), qualitative researchers usually work with small samples of people, nested in their context and studied in depth. Positivist researchers tend to work with large samples in their search for statistical significance.

Purposive sampling is a non-probability sampling technique where an experienced individual selects the sample based upon his or her judgment about some appropriate characteristic required of the sample members. The researcher selects a sample to serve a specific purpose, even if this makes the sample less than fully representative (Zikmund, 1994). Such sampling is appropriately used where findings of small-scale studies are not intended to be generalised beyond the group in question (Cohen and Manion, 1994).

Purposive sampling was chosen for the semi-structured interviews. Whilst preparing for the Ed.D. degree (November 1997), the researcher engaged in a series of small scale studies whereby colleagues were sent a questionnaire or approached for interviewing. Through this, the researcher discovered those individuals who showed interest and cooperation in her research. The researcher approached 40 out of the 80 questionnaire respondents in this study. They were in turn asked to voluntarily participate in the semi-structured interview section of the research. The 40 approached respondents agreed. 36 of the 40 interviewees were faculty members, the remaining four being made up of two Deans and two administrative members of staff. The 36 faculty member respondents were divided equally between the School of Business and the School of Arts and Sciences. They included 20 full-time and 16 part-time faculty members. In addition, the two Deans and the two administrative members of staff were also interviewed. The purpose of choosing equally from different schools was to provide the researcher with different viewpoints around the same research questions, which provided a useful comparison.

However, the disadvantage of purposive sampling, according to Cohen and Manion (1994), is the possibility of deliberate selection of individuals whose views are likely to match those that the researcher was searching for.

Ethical Considerations

Social scientists generally have a responsibility not only to their profession in its search for knowledge and quest for truth, but also for the subjects they depend on for their work (Cohen and Manion, 1994).

Fundamental ethical issues such as confidentiality, informed consent, anonymity, the right to privacy and knowledge and deception concerning the purpose of the investigation and potential damaging consequences of the research should be fully taken into consideration in the overall research design (Cohen and Manion, 1994). The participants were informed that they would remain anonymous and all the information would be treated with the strictest confidentiality. The anonymity of all participants is preserved in this research by allocating numbers to questionnaires, because most participants refused to use their names or even their initials. In case of the interviews, interviewees were informed that although the findings may be published, no names or coding symbols would be used for the purpose of this research, only titles (i.e. Instructors, Assistant Professors, Associate Professors, and Professors). These measures gave faculty members more comfort to participate in the study.

Preserving confidentiality means that although researchers know who provided the information or are able to identify participants from the given information, they will in no way make the connection known publicly; the boundaries surrounding the shared secret will be protected (Cohen and Manion, 1994). However, according to Bell (1993), when the researcher conducts investigations in his/her institution, the close contacts with the institution itself and the colleagues may make objectivity difficult to achieve.

Constructing the Instruments

The Questionnaire

Question designing can range from open-ended questions to close-ended questions and can be structured, distributed and analyzed in many different methods to meet the researcher's specific needs (Bell, 1993). Open-ended questions ask respondents to give an answer in his or her words, which presents some topic or problem requiring an answer. Closed questions consist of alternatives to choose from. It is much easier to code, tabulate, and interpret standardized responses. However, some respondents, whose answers do not belong to any of the fixed alternatives, may be forced to choose an alternative they do not mean (Zikmund, 1994). Open-ended questions are more difficult to interpret and analyze due to the uniqueness of each answer. Questionnaire results are judged primarily by their relevance to the study to ensure that all necessary information was obtained and by their accuracy to check that the information is reliable and valid, that is to say it can be trusted for having a strong base (Zikmund, 1994).

The questionnaire designed for this study used rating scales for some questions. One of the main purposes of scaling is to develop a one-dimensional scale on which individuals or variables can be given scores. Their scores on the particular scale can then be related to other measures of interest. The scaling model designed for the questionnaire was the Likert scale. According to Youngman (1979), the most common rating system, using usually five response categories, is the Likert scale. For this study the 5 point Likert scale was used whereby respondents were asked to indicate their opinion on a 1 to 5 scale (where 1= SD, 2 = D, 3 = U, 4 = A, 5 = SA). According to Bourque and Clark (1994, p.72), "the 5-point Likert scale signifies strong agreement or approval". Individuals are presented with a list of statements about a single topic and are instructed to respond to each statement in terms of their degree of agreement or disagreement. Thus, this scaling model involves a single type of stimuli and a single type of response (McIver and Carmines 1994). As Youngman stated, "the more personal nature of such items makes the semantic differential a useful device for examining individual reactions over a broad range of personal involvement" (Youngman, 1978, p. 11). However, problems with

measurement can possibly occur, since there is a tendency for the rater to give a middle rate. This is termed the central tendency (Kermally, 1997).

In order to research how faculty members at LAU perceive the advantages and disadvantages of performance appraisal, a questionnaire was constructed consisting of 12 questions with varying subsections (see Appendix D) using Likert scale and multiple choice questions. This was piloted as was discussed earlier. Questions 5, 6 and 8 were presented in the form of a statement, respondents being required to choose one of five alternatives to indicate their degree of agreement with the statement.

1 = Strongly Disagree (SD)
2 = Disagree (D)
3 = Undecided
4 = Agree (A)
5 = Strongly Agree (SA)

Analysing the Questionnaire Data

Every response is given a point value, and the respondent's score is determined by adding the point values of every statement in such a way that valid and reliable differences among individuals can be represented (using SPSS) (Gay and Diehl, 1992; Bell, 1993; McIver and Carmines, 1994).

A factor analysis via SPSS was conducted to screen out the dependent variables. The researcher ended up with 11 dependent variables for this study, each of the 11 dependent variables will be defined and discussed in the following chapters (see Appendix E).

The variables are: Feedback, Control, Motivation, Support, Reward, Procedure, Needs, Environment, Money, Promotion, and Training.

Feedback was measured with six questions (e.g. "Feedback is received periodically by the appraisee", "Performance appraisal provide feedback to employees as to how well they are doing their job", etc.) (See Appendix E). The results of these six questions were inputted into the SPSS and averaged giving a single value.

Control was measured with two questions (e.g. "Performance appraisal serves as a tool for control", etc.). Again it was averaged to a single value as previously calculated for Feedback. **Motivation** was measured using three questions dealing with motivation (e.g. "Interest in work is a motivator", "Success in performing a job is a motivator", etc.). The amount of **Support** was measured using four items dealing with the heads of departments (e.g. "Heads of departments should take an active part in helping and supporting staff in the department to carry out their research", etc.).

Reward was measured with two questions (e.g. "Rewards motivate performance", etc.). **Procedure** was also measured with two questions (e.g. "Further systematic procedures for the appraisal of individuals for their professional development are necessary", etc.). **Needs** were measured with two questions (e.g. "The needs of academic staff are considered before rewards are given"" etc.). Again, using SPSS, it was averaged to a single value as previously calculated for every dependent variable. **Environment** was measured with three questions (e.g. "The organisational environment is considered before rewards are given", "Managers are friendly with the staff", etc.).

Money was measured with five questions (e.g. "Money is a measure of accomplishment", etc.). **Promotion** was measured with four questions (e.g. "Performance appraisal serves as a basis for deciding on promotions" etc.). **Training** was measured with five questions (e.g. "Performance appraisal identifies those who have potential for training", etc.). Each item was again cast on a five-point Likert scale, and averaged to a single value as calculated for every dependent variable.

The significance for all the variables was satisfactory, (i.e. above 0.4) except for the question "The University should provide training for heads of departments" which was 0.381. Therefore, no further consideration was given to this question in accessing the dependent variable training.

The Interview

Interviews generally enable a greater level of flexibility that cannot be reflected in a questionnaire since people's thoughts and ideas can be followed and discussed further. On the other hand, questionnaires give respondents the opportunity to complete the questions themselves and to contemplate their answers before filling in the form. Interviews provide initial responses with little thought as an instant response. Further, interviews are time consuming and there is always the danger of bias, but they can provide rich material and clarify things much more than questionnaires (Bell, 1993; Drever, 1995).

The type of interview designed for this research is the semi-structured interview, which has a mix of closed, and open ended questions. It is filled with prompts and probes, the former encouraging broad coverage, the latter exploring answers in depth (Cohen and Manion, 1994) (see Appendix C). A semi-structured interview in general is the favorite methodological tool for a qualitative researcher, for it allows greater depth than other methods and the opportunity for response is extensive (Denzin and Lincoln, 1994). However, its main disadvantage is that it is prone to subjectivity and bias on the part of the interviewer. However, bias, though not completely avoidable, can be significantly decreased through awareness and self-control (Bell, 1993; Cohen & Manion, 1994; Drever, 1995). The research interview has been defined as a two person conversation initiated by the interviewer for the specific purpose of obtaining research-relevant information, and focused by him or her on content specified by research objectives of systematic description, prediction, or explanation (Cannell & Kahn, 1968). An interview provides a chance to follow up ideas, probe responses, and investigate motives and feelings. There is also the possibility of explaining any ambiguities, correcting any misunderstandings and probing for clarification whenever the answers are not clear (Bell,

1993). As a distinctive research technique, the interview may serve three purposes. Firstly, it may be used as the principle means of collecting information having direct bearing on the research objective. Secondly, it may be used either to test hypotheses or to suggest new ones; or as an explanatory device to help identify variables and relationships. Thirdly, the interview can be used in conjunction with other methods to undertake research (Cohen & Manion, 1994).

The interview allows the researcher a greater level of flexibility that cannot be reflected in a questionnaire. Thoughts and ideas can be followed and discussed further. Besides, the usage of both quantitative and qualitative methods was for the better. Flexibility was essential since the interviewee had much to contribute in the conversation. The interviewees contribution would have been lost if the interviewer had not been able to deal with the spontaneous feelings of the respondents by showing concern and respect for their views.

Interview Schedule for the main study

The interview schedule was administered in a face-to-face setting (Bell, 1993) where the purpose of the research was explained and participants were given the opportunity to ask questions. The interviews started with general questions about the subject under investigation. According to Bell (1993), as a rule the more general questions should be asked first. As the interview progressed, the questions that this research intended to explore became more structured and specific.

The interview was limited to 14 questions (see Appendix C) each was related to the key research questions being asked, which dealt firstly with the appraisal system at the institution. These questions were important because they were the main issues raised during the pilot study. The researcher wanted to assess other faculty members' views about these issues, thus the researcher chose these as key questions in the interview. The interview commenced by questioning interviewees about whether any formal appraisal system was already adopted by the University or their Department / School. Interviewees, aware of the appraisal system were asked about the appraisal method

followed and the frequency of its application i.e. annually, semiannually, etc. At this stage interviewees were asked about their views regarding the importance of appraisal in higher educational institution and whether it is an essential activity for professional development, motivation, and promotion. Another main concern to the researcher was to know whether the appraisal method applied served its purpose in stimulating faculty motivation. So the interview next focused on this, exploring whether the appraisal results were communicated and the way they are being communicated at LAU and whether discussions about job duties and responsibilities, and follow-ups are conducted. Interviewees were also questioned about their views regarding the importance of feedback in the appraisal process. They were also asked if appraisal played a part in their promotion. Part time faculty members employed at different universities were asked to compare between both evaluation processes.

After questioning the interviewees about the importance of appraisal and the system currently in use at the university, they were asked to suggest ways for improving or changing the present appraisal system, that is to say which appraisal method they suggested should be employed at LAU. In addition, they were asked who they believe should carry out the appraisal. The researcher defined the different appraisal techniques included in the study to those interviewees who did not have a complete view of the appraisal techniques. Most of the participants suggested 360 degree appraisal as a substitute to the present system. In the light of the response, the researcher was interested to raise few questions about 360 degree appraisal of which was whether this appraisal scheme would be time consuming and costly. The last two questions of the interview were aimed at assessing the interviewees' views on professional development – as a tool for empowerment, growth, its importance for promotion, and whether it could be assessed through collaboration – and mentoring – its importance in higher educational institutions, advantages and disadvantages.

The interviews were tape recorded (after the respondent's permission) and subsequently transcribed, and the transcripts were subjected to qualitative analysis. According to Bell (1993), tape-recording interviews is one means devised for recording responses of a less-

structured approach. Analyzing responses from the transcript tape recordings can be useful to check the wording of any statement the researcher might wish to quote and to check that the notes are accurate. Drever (1995, p.60) states, "one big advantage of transcription is that most people regard a transcript as providing a true record of the original interview". The researcher was aware of smiling and nodding to the interviewees for assurance, but at the same time the researcher was alert not to ask leading questions or add personal comments thus biasing the interview. The participants were encouraged to answer all the interview questions honestly and were assured of complete anonymity. The respondents were also invited to amend or modify the transcript of their interview when deemed necessary. Interviewees' agreements were obtained to include quotations from the transcript in the form and context presented.

The duration of each interview was restricted to around 45 minutes, due to the size of the research budget in terms of time and expenses. According to Drever (1995), a semi-structured interview usually takes about 45 minutes to an hour to complete. Add to this, the time for courteous social chatting. In this study it was only possible to hold one interview per morning or afternoon. Besides, the researcher being an Instructor interviewing other faculty members had to search for common free time lengthy enough to accommodate a 45 minutes interview. Moreover, some faculty members were not ready to spend this much time either, because they do not have the time during their hard working day or, because they are not interested in spending this much time answering questions.

Analysing the interview data depends on the structure of the interview format. For example, the structured interview, which enables the researcher to tick or circle previously prepared questionnaire or checklist, can be dealt with by simply coding and counting the responses using methods similar to those used in the questionnaire (Bell, 1993; Drever, 1995). In this research, the tape-recorded interviews were transcribed, and the transcripts were subjected to qualitative analysis. The researcher listened to the tapes and counted the participants responses, when dealing with mentoring for example the researcher carefully ticked and counted the times were the participants focused on

mentoring as a topic of interest. The context of the searched word, in this example mentoring, was also reported. The following enabled the researcher to transform the vocally recorded opinions of the participants from the tapes to written and documented text cases. The text cases were then analyzed and reported. The researcher then recognized and summarized the text to match the research questions, and to find common views among the interviewees and to generate theory or patterns of knowledge from among the views of the participants. Responses to the closed-ended questions in the interview were also codified by the researcher. Coding the data is essential in order to ensure that the data can be viewed in a comprehensive manner (Hitchcock and Hughes, 1989).

The following chapter aims to analyze the responses harvested from the survey by presenting the interview and the questionnaire results.

Chapter Four

Analysis of Findings

Existing Appraisal Scheme at LAU

The purpose of this chapter is to evaluate the effectiveness of the appraisal scheme for faculty members at LAU. The researcher wanted to divide her analysis of the data using the following three conditions.

- The employment status of the respondents, meaning whether the respondents are full time or part time faculty members.
- The school the respondents reported to, meaning whether the respondents belonged to the School of Business or to the School of Arts and Sciences.
- The gender of the respondents.

The researcher found statistical significance between the faculty members' employment status and their responses, for part time faculty members responded differently than the part time faculty members.

However, the researcher found no statistical significance between the schools the faculty members reported to and their responses, for both faculty members had either similar or identical results. The following may be due to the fact that the new part time faculty members, who experienced the student questionnaire appraisal technique at the School of Arts and Sciences, refused to participate in the study. Due to the lack of statistical significance, the researcher disregarded the school the faculty members belonged to in her analysis of the findings.

The new staff in the School of Arts and Sciences refused to take part in the questionnaire. They did not explain the reason behind their refusal, however, two of them clearly pointed out to the fact that they are new in the School and they need more time to become familiar with the system before taking responsibility and sharing information publicly.

Finally, regarding gender the researcher found statistical significance and diverse opinions only when studying mentoring in relation to the faculty members' gender.

According to the Chairperson of the Business School, academic staff members are appraised by the Chairperson of their department or school, who is in turn appraised by the Dean of the department (Interview Transcript, January 1999). The Dean is then appraised by the Vice President of Academic Affairs, thus creating a defined hierarchy. "The evaluation of the faculty is the gathering of information for understanding and improving performance as well as judging its quality" (Rifkin, 1995, p. 1). Therefore, the responsibilities of both the Chairperson and the Dean are to appraise subordinates. To bring about this effectively, the supervisor needs to be skilled enough in the leadership and human relations functions such as motivation, face-to-face communication, training, coaching and appraising.

There were five key questions within the interview and the questionnaire.

- **Question One:** How does the appraisal system work in LAU and how does it affect faculty members' promotion and motivation?
- **Question Two:** What is the role of the departments' heads in appraisal and what is their relationship with the present faculty members?
- **Question Three:** In what ways did faculty members' think the existing appraisal system could be improved?
- **Question Four:** How might professional development be used as a tool for empowerment, growth and promotion?
- **Question Five:** How might faculty members' involvement in decision making and mentoring help promote their professional development?

The Sample Studied

The sample is composed of full-time and part-time faculty members at LAU and they are divided between the Business School, and the Arts and Science School because they apply different appraisal practices. The researcher distributed questionnaires to all 217 full-time and part-time faculty members and a semi-structured interview was conducted with 40 faculty members as well as Likert ranking scale questions in a

form of questionnaire. Out of the 217 distributed questionnaires, 80 were received, which constituted 36.86% of the chosen sample.

Table 4-1 shows the number of faculty members in each of the Schools (the Business School and the Arts and Sciences School), the distribution of returned questionnaires and the response rate as the ratio of respondents in each school to the head count of that school. It is worth noting that LAU consists of these two schools where the Arts and Sciences School is sectioned to four divisions (the Natural Science Division, the Humanities Division, the Social Science Division and the Education Division).

Table 4-1
Number of Faculty Surveyed and Response Rate

	Headcount	Respondents	Percentage
Business School	63	34	53.96%
Arts and Sciences School	154	46	29.87%
	217	**80**	

The highest response rate, defined here as the ratio of respondents in each school to the head count of that school, came from the Business School (53.9%). But out of the sample (80) more faculty members from the Arts and Sciences School responded, as shown in Table 4-2.

Demographic and Personal Information

There was an equal distribution (50%) of the respondents by gender. Regarding the marital status, 77.5% were married, 17.5% were single, and the remaining were divorced.

Table 4-2 presents the demographic and personal information. 47.5% of the respondents were Instructors and 20% were Assistant Professors. Associate Professors constituted 17.5%, Professors 10% and Deans 2.5% of the sample.

Table 4-2
Respondents Characteristics

	Frequency	Percentage (%)
Gender		
Male	40	50
Female	40	50
	80	**100**
Marital Status		
Single	14	17.5
Married	62	77.5
Divorced	4	5.0
	80	**100**
Level in the Organisation Hierarchy		
Deans	2	2.5
Professors	8	10
Associate Professors	14	17.5
Assistant Professors	16	20
Lecturers	2	2.5
Instructors	38	47.5
Total	**80**	**100**
Divisions and Schools		
Business	34	42.5
Arts and Science	46	57.5
	80	**100**

The percentage of respondents according to the schools- defined by the ratio of respondents from each school to the total number of respondents (80)- was relatively higher for the Arts and Sciences (57.5%) in comparison to the Business School (42.5%).

The distribution of the participants according to their years of experience is presented in Table 4-3.

Table 4-3
Years of Experience

Years	Frequency	Percentage (%)
1-5	14	17.5
6-10	32	40
11-15	14	17.5
16-20	8	10
21-25	8	10
25 and more	4	5
Total	**80**	**100**

A summary of the insights gained from the interviews and the results of the questionnaire will follow.

The rest of the chapter related to the current appraisal scheme at LAU is designed as follows: Purpose of Performance Appraisal in Higher Education; Satisfaction with the Current System; Methods Applied in Appraising Academic Staff; Communication; Carrying Out Appraisal Interviews; Performance Appraisal and Promotion; Performance Appraisal and Motivation; When Rewards are Given; Comparing LAU Appraisal with Those of Other Universities; Feedback; and Collaboration and Professional Development Among Faculty Members.

Purpose of Performance Appraisal in Higher Education

In an attempt to study the awareness of the purpose of performance appraisal, the following table (Table 4-4) presents the agreements and disagreements to the statements that were asked in the questionnaire, a sample of which is presented below. Respondents were asked to indicate their opinion on a 1 to 5 scale (where 1= SD, 2 = D, 3 = U, 4 = A, 5 = SA). The frequencies of the responses in the 5 categories to each selected 9 propositions are indicated in Table 4-4.

Table 4-4
Purpose of Performance Appraisal in Higher Education

Please circle the number which reflects your opinion of the following statements

SD=Strongly Disagree D=Disagree U=Uncertain A=Agree SA=Strongly Agree

	SD	D	U	A	SA
a- Performance Appraisal tries to enhance performance by identifying improving or developing areas in which employees have a deficiency.	4	10	22	32	12
b- Performance Appraisal identifies those who have potential for promotion to positions of greater responsibility and vice versa.	2	14	22	30	12
c- Performance Appraisal identifies those who have potential for training.	2	18	26	32	2
d- Performance Appraisal determines the need for disciplinary action.	8	22	26	24	--
e- Performance Appraisal stimulates motivation.	6	16	24	30	4
f- Performance Appraisal serves as a tool for control.	6	10	24	32	8
g- Performance Appraisal serves as a basis for determining salaries.	2	26	10	28	14
h- Performance Appraisal serves as a basis for deciding on promotion.	8	12	22	22	16
i- Performance Appraisal provides opportunities for growth and advancement.	8	12	14	34	12
j- Performance Appraisal uses job descriptions as measurable criteria	8	22	26	18	6
k- Performance Appraisal uses job specification as a measurable criterion	4	22	28	20	6
l- Performance Appraisal enhances understanding between the supervisor and the subordinate	8	22	20	22	8
m- Performance Appraisal provides feedback to employees as to how well they are doing their job	8	2	12	40	18
n- Performance Appraisal results are communicated by the superior	20	14	10	26	10
o- The supervisor conducts face-to-face interview with the appraisee	32	24	12	8	4
p- Feedback is received periodically by the appraisee	26	8	20	20	6
q- The supervisor comments verbally on performance, filling out forms later	22	22	24	12	-

For the above statements the first and second categories were combined as Disagree, the forth and fifth categories were combined as Agree. An examination of the above responses shows that there seems to be awareness among most faculty members regarding the purpose of performance appraisal, as a major tool for measuring and enhancing performance. 55% (44 out of 80) agreed on the purpose of appraisal as a method to enhance performance by improving weak areas, however 17.5% disagreed. Regarding the importance of appraisal in identifying potential promotion, there was a 52.5% consensus. The participants showed the same percentage of agreement that performance appraisal serves as a basis determining salaries. 57.5% of the participants acknowledged that appraisal is essential for providing potentials of growth and advancement to faculty members who are identified by the appraisal as being capable of undertaking training for professional development purposes. There was also 42.5% agreement that appraisal identifies those who have the potential for training. 50% of the respondents agreed that performance appraisal provides feedback to employees as to how well they are doing their job; however, 27.5% disagreed and another 27.5% agreed that performance appraisal enhances mutual understanding between the supervisor and the subordinate. Moreover, 32.5% of the respondents agreed that performance appraisal results are communicated by their supervisor, but still 32.5% of the respondents strongly disagreed that feedback is received periodically by their appraisee and 27.5% strongly disagreed while another 27.5% disagreed that the supervisor comments verbally on performance. In relation to communication, feedback, and verbal comments, 70% of the respondents strongly disagreed or disagreed with the question stating that the supervisor conducts face-to-face interviews with the appraisee.

When asked about the importance and purpose of appraisal in a higher educational institution, the Dean of the Business School at LAU, argued:

> "Appraisal is an essential part of the university's commitment to developing its staff and delivering high quality service. It ensures that individual staff members are clear about their responsibilities and they can have an opportunity to discuss any issues that they need in meeting these responsibilities" (Interview Transcript, January 1999).

The Chairperson of the Business School stated that there are some criteria on which faculty members are evaluated. The LAU's Instructors and Professors are required to complete a certain number of working hours per week. Clearly, part of this time is allocated for teaching students whereas the remaining is usually dedicated for office hours, advising, registration, and meetings. Enrolment of students is considered by senior staff an important criterion. As pointed out by the Chairperson of the Business School,

> "The class size is considered as a criterion in appraising individual faculty members since this would reflect the performance of the faculty as perceived by the enroled students. A full or high class enrolment for a faculty would be an indication that she or he has a better performance than another whose classes have a lower enrolment level" (Interview Transcript, January 1999).

Therefore, at LAU enrolment class size is assumed to be based on the reputation of the Instructor. Besides, this reputation has a strong effect on his or her appraisal. If a student does not like faculty member; then, the class size will be smaller than that of a more favored member. Although the Instructor with the higher-class size will not be given more of an increment, the one with the abnormally low enrolment will get less. One of the interviewed Instructors criticized this basis for evaluation:

> "Appraising us on the basis of class size is not fair since most students tend to avoid faculty members who are known to be more strict especially in setting grades although they could be more academically qualified than others" (Interview Transcript, February 1999).

The Chairperson of the Business School commented that "as part of the appraisal process, LAU students were previously asked to fill in a teacher evaluation form," (see Appendix G) "however, the results turned out to be biased as students aimed at pleasing their Instructors rather than truly evaluating them in an effort to obtain higher grades" (Interview Transcript, January 1999). According to the Dean of Arts and Sciences:

> "This form-filling scheme is still being practiced, and a committee reviews the questionnaire every year.... As part of the promotion criteria, faculty members are assigned tasks such as conferences, council memberships, services on campus (e.g. editing academic journals, advising students and participating in registering the students etc.) and services outside campus (e.g. giving workshops or participating in conferences etc.), as well as local and international publication of work" (Interview Transcript, July 1999).

In response to question four of the interview schedule, exploring the importance and purpose of appraisal in higher education (see Appendix C), an Assistant Professor commented:

> "The benefits of appraising faculty members will give an opportunity to recognize achievement, by addressing the weaknesses and identifying the development needed" (Interview Transcript, April 1999).

The importance of a performance appraisal system in higher education, according to 38/40 faculty members, is that it allows achievements to be recognized, and the amount of work is also accounted for. The weaknesses can therefore be addressed and any needed developments can be identified.

Another Professor's comment was:

> "An evaluation system is extremely important for good Instructors or Professors. You feel that the work we put in is accounted for and appreciated" (Interview Transcript, April1999).

An Associate Professor emphasizing the role of a leader for an effective appraisal system stated:

> "It is the role of the leader to identify and recognize good from poor performers. To accomplish this, a leader must work with all performers in order to assess their strong and weak points. Performance appraisal is important to screen out talented people and those successful in their jobs. The type of leadership influences the way in which the leader determines the performance of the individuals in the different departments. Every leader differs in his assisting and motivating employees" (Interview Transcript, March 2000).

Faculty members at LAU deemed performance appraisal as necessary. One faculty member stated:

> "An organisation cannot have a fully functioning human resource system without having a well-developed effective system for appraising performance...and it is very useful" (Interview Transcript, March 1999).

The necessity of an effective system of appraisal was emphasized by another Instructor whose argument was:

> "If the university lacks a carefully structured appraisal system, the performance of faculty members would tend to be judged arbitrarily and informally. What is important is that such judgment could be somewhat unfair and inaccurate thus leading to motivational problems" (Interview Transcript, April 1999).

Satisfaction with the Current System

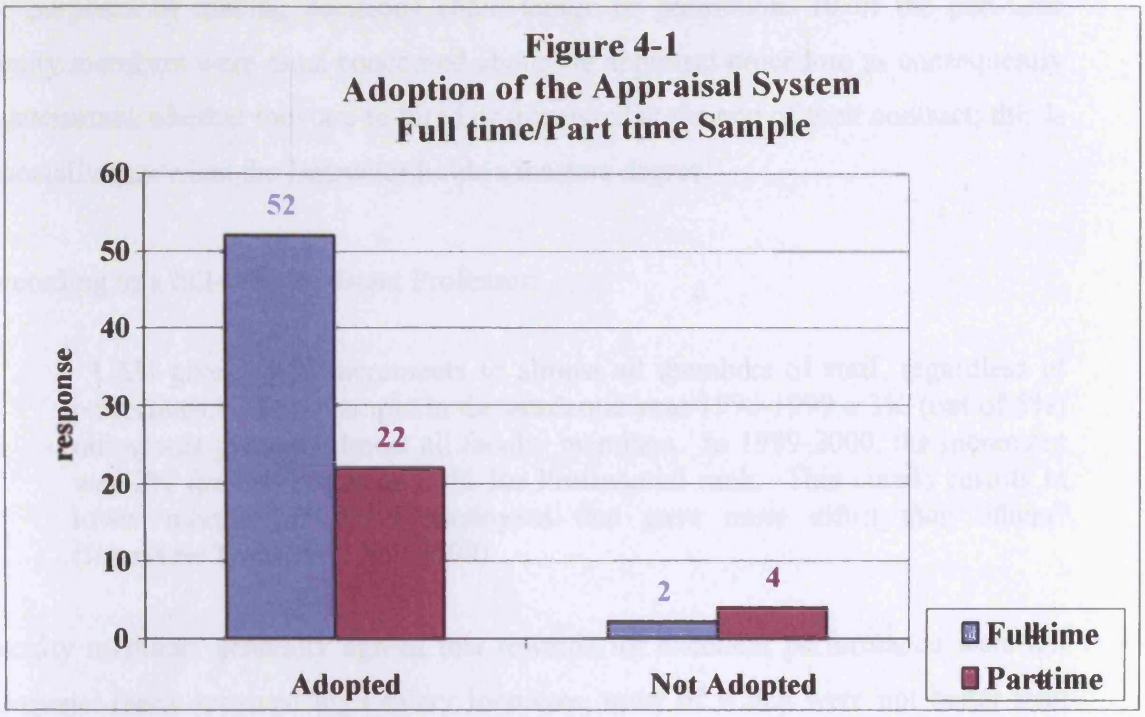
Time Interval for the Appraisal Process

The most common interval for the appraisal process for each member of faculty was annual. 67.5% of the faculty members in the sample stated that the process took place annually. However, 15% stated that the process took place semi-annually. The remainder stated that appraisal took place at intervals of less than one year, often for new faculty members.

Comparison Between Full Time and Part Time Faculty

Data for this topic was gathered from the 80 participants who completed the questionnaire. The first step followed by the researcher after piloting the questionnaire and the interview schedule was to examine whether the University has a formal appraisal system. As a result 92.5% agreed that a performance appraisal system is adopted by the university and only 7.5% disproved any adoption of such systems.

Results were also distributed based on the status of the faculty members, i.e. full-time or part-time as presented in the following Figure (Figure 4-1). It was found that 96.3% of the full-timers (52 out of 54) agreed that LAU has an appraisal system as compared to 84.6% of the part-timers (22 out of 26).



Faculty interviews conducted in 1999-2001 revealed a high level of dissatisfaction over the 1998-2000 performance appraisal system. In the interview study, 30 out of the 40 interviewed faculty members indicated that they were disappointed with appraisal and evaluation method. An full time Assistant Professor complained that:

> "There seems to be no clear evaluation system. Faculty members have no idea regarding the exact criteria of their evaluation. I would like to recommend (if the university would ever improve its appraisal system) the involvement of faculty members in setting the criteria of evaluation" (Interview Transcript, February, 1999).

Four faculty members seemed to be unaware of the presence of a specific appraisal system within the institution. Their unawareness of the presence of an appraisal system was perhaps due to the lack of communication.

There was a general agreement, among the 40 interviewees, on the importance of appraisal in higher education. One interviewee emphasized that "evaluation of faculty members' performance should be an essential activity because the prestige of a successful university flows from the individual faculty and staff" (Interview Transcript, March 1999). However, at LAU 18 full-time faculty members were

concerned about the evaluation process since performance appraisal is solely used for the purposes of making decisions about tenure or promotion. 10 of the part-time faculty members were most concerned about the appraisal procedure as consequently it determines whether they are re-hired or dismissed at the end of their contract; this is especially true when the Instructor holds a masters degree.

According to a full-time Assistant Professor:

> "LAU gives equal increments to almost all members of staff, regardless of performance. For example in the academic year 1998-1999 a 3% (out of 5%) rating was given to almost all faculty members. In 1999-2000, the increment was 2% for Instructors and 3% for Professorial rank. This clearly results in lower morale for those employees that gave more effort than others" (Interview Transcript, July 2000).

Faculty members generally agreed that rewards for excellent performance were not adequate: many received high salary increases, most of which were not better than those given to average or low performers. Outstanding performance was not even clearly identified.

One part-time Instructor found the idea of performance appraisal amusing stating that:

> "Superiors in general do not listen, and in addition, no one was informed of how well they were doing or how they could improve their performance instead of waiting till the faculty is forced out of the university for one reason or another" (Interview Transcript, January 1999).

It is clear that part-timers are less aware of the existence of the appraisal system adopted by the university. This could be due to the fact argued by a part-time Associate Professor:

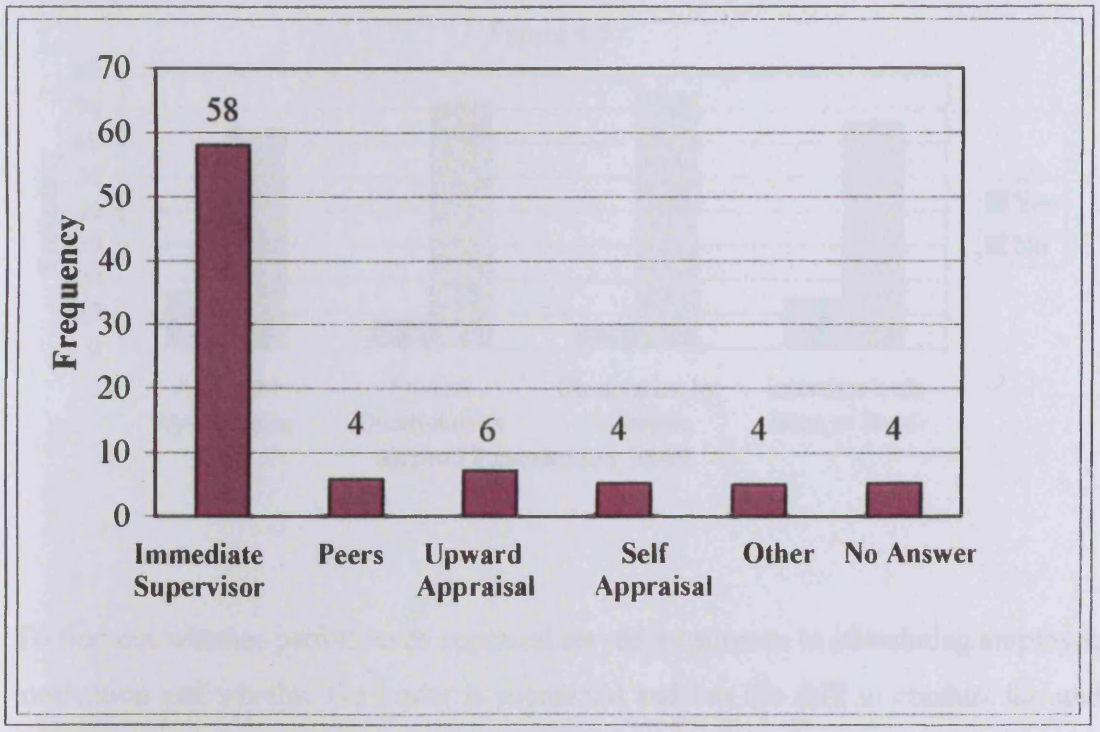
> "Part-timers do not receive increments based on the evaluation, but they receive specific rates and since no communication is made for the results of the appraisal, most of the part-timers would be unaware of their evaluation" (Interview Transcript, March 1999).

Methods Applied in Appraising Academic Staff

Chapter two discussed numerous ways or processes to measure employee performance, each of which has its own advantages and disadvantages. The third and fourth questions were designed to know the degree to which faculty members are aware of the evaluation method in their respective divisions or schools. Results indicated that different techniques are adopted at LAU. The School of Business applied the immediate supervisor appraisal, while the School of Arts and Sciences applied both the supervisor appraisal and the student evaluation. The School of Arts and Sciences appraised the new part time faculty by means of the Student evaluation and the immediate supervisor appraisal, while the full time faculty and the old part time faculty are appraised only by means of the immediate supervisor appraisal. The responses in (Figure 4-2) reflect that the Supervisor Appraisal is used at LAU.

Figure 4-2

Who Conducts Performance Appraisal



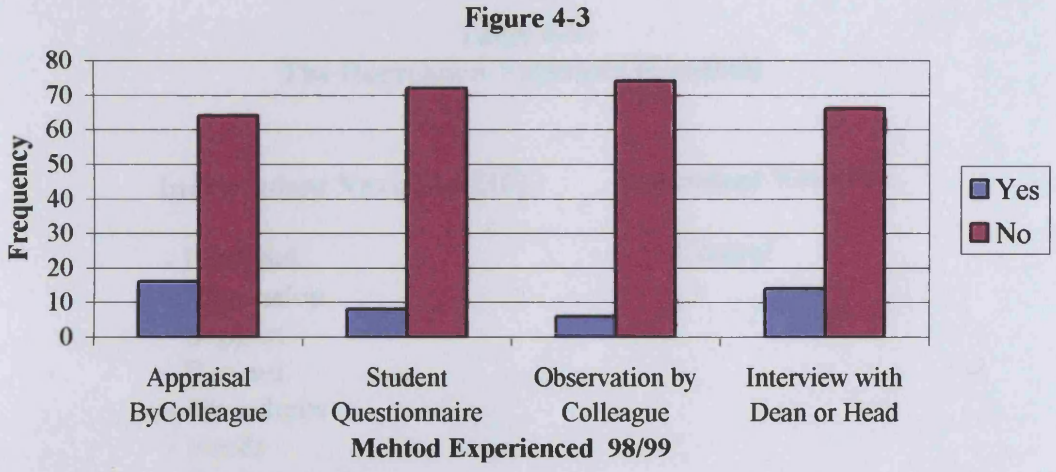
The highest percentage of the responses - 58 out of 80 - (72.5% of the questionnaire sample) corresponded to the Immediate Supervisor method of appraisal, whilst other

methods received a response rate of either 5% or 7.5%. The difference in responses could be partially due to the fact that there is confusion among faculty members regarding the appraisal system at LAU. Moreover, the difference in responses might be due to the old part timers' confusion at the School of Arts and Sciences, since they have previously experienced the student appraisal during their first year of service. Besides, four of the interviewed part-timers are actually unaware of their appraisal.

The seventh question was designed to identify which method of performance appraisal was experienced by the questionnaire respondents during the academic year 1998/1999. As aforementioned earlier, the lack of a formally set appraisal method results in faculty experiencing different informal appraisal methods. The responses in Figure 4-3 represent the type or types of performance appraisal schemes experienced by respondents at LAU.

Figure 4-3

Performance Appraisal Experienced by Respondents in 98/99



To find out whether performance appraisal served its purpose in stimulating employee motivation and whether the leader is successful and has the skill to conduct fair and objective appraisal, the researcher conducted a regression analysis.

Assessing the Importance of Appraisal

The researcher chose to build a model that predicts the factors that are most likely to be associated with explaining the variability of the dependent variable(s) chosen for the study.

The dependent variable designed to assess the importance and effectiveness of appraisal is Control (see Chapter Three). It was measured with two statements in the questionnaire, for example "Performance appraisal serves as a tool for control". To investigate the factors that are most likely to be associated with control, a regression analysis was conducted using control as the dependent variable, and fifteen variables were taken as independent. Those variables are motivation, support, reward, procedures, needs, environment, money, promotion, training, feedback, gender, marital status, title, department, and, years. (The description of these variables based on the questions used is presented in Chapter Three). These variables are shown below in Table 4-5. The results of the regression analysis are presented in Table 4-6:

Table 4-5
The Regression Variables (Control)

Independent Variables (15)	**Dependent Variable**
- Feedback	- Control
- Motivation	
- Support	
- Reward	
- Procedures	
- Needs	
- Environment	
- Money	
- Promotion	
- Training	
- Gender	
- Marital Status	
- Title	
- Department	
- Years	

Table 4-6
Regression Output for Control

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	0.607	0.369	0.221	0.8305

ANOVA

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	25.811	15	1.721	2.495	0.006
	Residual	44.139	64	0.690		
	Total	69.950	79			

Coefficients

	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std.Error	Beta		
(Constant)	3.112	1.166		2.669	0.010
MOTIVATION	**-0.438**	**0.184**	**-0.369**	**-2.375**	**0.021***
SUPPORT	0.187	0.172	0.133	1.087	0.2
REWARD	2.537E-02	0.124	0.026	0.205	0.839
PROCEDURES	0.282	0.166	0.201	1.696	0.095
NEEDS	-6.836E-02	0.195	-0.062	-0.350	0.728
ENVIRONMENT	0.220	0.167	0.197	1.320	0.192
MONEY	-0.137	0.194	-0.128	-0.707	0.482
PROMOTION	0.228	0.150	0.197	1.520	0.133
TRAINING	0.309	0.185	0.276	1.675	0.099
GENDER	-0.482	0.259	-0.258	-1.864	0.067
MARITAL STATUS	-0.179	0.270	-0.088	- 0.664	0.509
TITLE	-7.552E-02	0.080	-0.151	-0.940	0.351
DEPARTMENT	**-0.203**	**0.080**	**-0.318**	**-2.531**	**0.014***
YEARS	1.087E-02	0.013	0.099	0.835	0.407
FEEDBACK	-2.972E-04	0.166	0.000	-0.002	0.999

Dependent Variable: CONTROL
* **significant at 0.05 significance level**

The regression analysis yields the following equation for determining the dependent variable, control:

Control = 3.112 - 0.438(Motivation) - 0.203(Department)
Significance *(0.021)* *(0.014)*

The factors that proved to be significant in relation to *control* are motivation and department. The other tested variables were not found to have a significant relationship with control; therefore, further research is recommended to test for such correlations. The negative sign of the coefficients for both variables indicates that there is a negative correlation between the dependent variable, control, and the independent variables, motivation and department. This suggests that for an effective management, appraisals should be used for development rather than controlling purposes. It also suggests that individuals cannot be well motivated in a close controlled atmosphere. Trust, openness, and development need to take the lead. The department factor can be used to represent the type of supervision applied. The high levels of control would imply a directive rather than a participative approach, thus negatively affecting the degree of participation, trust, and openness.

The regression equation proved to be significant at the 0.05 significance level (95% confidence) with an F-value of 2.495 and a significance of 0.006 (Table 4-6). The coefficient of determination R^2 for this regression analysis is 0.369 meaning that 36.9% of the variation in the dependent variable is explained by variations in the independent variables. An R^2 of 0.369 is considered to be an acceptable level for the regression to be significant as long as this research is for attitudinal purposes. 63.1% of the explanation cannot be attributed to the regression analysis but to other factors beyond the scope of this study. Thus, further research is needed to verify the significance of the result.

The perceptions of the 40 interviewed participants at LAU were generally positive towards the concept of performance appraisal, but as aforementioned they were disappointed by the way appraisal is conducted. They agreed that appraisal improves individual performance, increases motivation, and benefits the organisation. However, only when the goals are clear and understandable; will the system be time-cost effective.

Communication

The interviewed faculty members (40) were asked about the communication of the appraisal results in the current appraisal scheme, and about their suggestions for better communication. All the participants showed their dissatisfaction with the current appraisal system, which can be traced to the lack of communication between the Deans, the Chairs and the faculty members.

An Instructor commented that:

> "The faculty members lack the necessary evidence to realize their weaknesses and the techniques to improve them effectively. This could be due in part to the lack of negotiation between the appraiser and the appraisee" (Interview Transcript, June 2000).

For a better appraisal system, an Associate Professor suggested:

> "The result of the appraisal should be communicated to the faculty concerned to reemphasis the positive and improve the negative" (Interview Transcript, April 1999).

An Instructor claimed:

> "The Department Chairperson must have clear discussions with the faculty member who was evaluated as well as other faculty members from the same department so as to clarify and judge every possible aspect of his or her own performance" (Interview Transcript, April 1999).

Another Instructor stressed the need of continuous negotiation between the appraiser and the appraisee for the sake of a better understanding of improvement:

> "...There should be a negotiation between the appraisee and appraiser, there should be evidence in order to better understand how we can improve...Discuss the past and the future...It should include the support of our Dean and the empowerment of the faculty members...." (Interview Transcript, March 1999).

This also echoes another Instructor's remark regarding the need for negotiation:

> "Appraisers should highlight and negotiate what was good as well as poor performance. And in effect, suggest ways for improving performance in the most effective manner. It is also important not to deny the power and importance of faculty members in making any change successful. They should be engaged in the process of appraisal rather than just be the subject of evaluation / judgment" (Interview Transcript, May 1999).

A properly designed and implemented appraisal scheme contributes, by improving communication and clarifying expectations to prevent misunderstandings.

Carrying Out Appraisal Interviews

It is necessary for the appraiser and the appraisee to be honest and to conduct face-to-face discussions. They should discuss the current job, plan the upcoming year and decide whether support is needed. This should be part of the communication and the on going process and should not be done only when appraising.

All of the 40 participants agreed that the supervisor-employee discussion produce mutual understanding and agreement concerning job duties and responsibilities as well as standards of performance. Furthermore, it formulates a contract between the participants, which is a self-corrective reflective approach to learning as well as work accomplishing.

There was also a strong support for the proposition (40 out of 40) that all academic staff should have an annual interview where their performance over the past year and their aspiration for the future could be discussed. Emphasis was mostly placed on the role of communication and collaboration in improving performance and clarifying the appraisal standards on which faculty members are evaluated. When asked about his opinion in this respect, an Assistant Professor complained:

> "Nobody had ever taken the time to ask me how I was doing? How I can improve my work? The Head of the Department does not discuss my work with me. I'll be motivated if I knew that my work will be taken into account when evaluation takes place and it should be face-to-face interview with my supervisor, because that will give me the opportunity to talk professionally about my personal work and plans" (Interview Transcript, May 1999).

In response to such complaints, a Dean answered:

> "LAU is growing very quickly, and there is a lot to do, for example: meetings, committees...Everything is done in groups, committees...Now we don't have the time to meet face-to-face with every faculty member when we appraise them. However even when the opportunity arises to evaluate the appraisees, the appraiser is met with a wall of bias and is consequently very difficult to judge. This is why the criteria should be based on quantitative measures (i.e. publications etc.)" (Interview Transcript, July 1999).

An Instructor highlighted a negative aspect of face-to-face interviews if not professionally conducted. He claimed:

> "The interviewee may become defensive when given negative remarks and put under stress. In effect, a negative appraisal might create a personal conflict between the Chairperson and the appraised faculty member" (Interview Transcript, April 1999).

The overall discussion with faculty members identified appraisal as a key part in the academic leadership and a key process in the overall management of the department.

Performance Appraisal and Promotion

From the interviews, 25 of the sample felt that appraisal should play a part in promotion procedures and merit pay awards.

An Instructor, when asked about the importance of performance appraisal in determining career advancement and promotions, argued that she could not see a relationship between career advancement and the appraisal process. She claimed:

> "Performance appraisal will not improve promotions and it will increase the work load of the staff members, and it is clear that I am not going to be promoted unless I finish my Ph.D. degree..." (Interview Transcript, March 1999).

The results of the semi-structured interview indicated low levels of satisfaction with the promotion and workload of the full time faculty members as aforementioned. Faculty members should engage in research work, publications and thus improve their professional development in order to be promoted.

Karkoulian (1999) previous study highlighted the University's effort in solving the promotion problems especially in the case of women. Despite some criticism from various faculty members, LAU is in fact an institution that is making an effort to change the situation much in the same manner as some researchers have suggested. For example, LAU has made an effort to solve the promotion problem. Women had difficulties in obtaining a post-graduate degree due to the fact that they had to take time away from their families to go to another country to study, LAU helped by offering them a chance to obtain such a degree in Lebanon. This is due to the agreement it made with Leicester University. Anyone willing to obtain a doctorate in education can do so without having to go to England to study. The courses are taught at LAU, in Beirut Campus, by the faculty members of the University of Leicester. In other words, and in the opinion of over 80% of those interviewed, despite some shortcomings, LAU is a good institution to work for. In fact many of the university's administrators saw themselves as privileged to be working in an institution that does not discriminate against women. Not denying the societal need of marriage, faculty members at LAU also affirmed the notion that women could assume public professional lives (Karkoulian, 1999).

In the year 2000, and for the first time, the criteria for promotion was clarified to faculty members at LAU. On March 13, 2000 the Vice President of Academic Affairs at LAU, in the faculty meeting in Beirut Campus, addressed the faculty members about promotion. A faculty member who wants an Associate Professorial or a Professorial rank should be judged by the peer committee's criteria. The decisions on promotion and tenure tend to be based primarily on a faculty member's record of publication in refereed journals and on the participation in International conferences. Now faculty members are aware of the need to integrate research, teach and serve students.

Performance Appraisal and Motivation

After the appraisal is completed, supervisors have to reward their employees. In general, they tend to attribute rewards to ability and skill when evaluating employees' performance. Before rewards are granted, special considerations have to be taken, for example, the needs of faculty members and the kinds of rewards given (Robbins, 2001). Rewards are of two kinds: intrinsic rewards, which originate from the job

itself and include job enrichment, and extrinsic rewards, which originate from outside the job, and include increments from the conducted study (Robbins, 2001).

Data was collected to find the kind of rewards given for good performance and whether they are considered as motivators to faculty members in improving their performance. Although rewards are granted, they do not seem to be motivating as they should be, perhaps because they are not provided immediately after the appraisal. Rewards at LAU are salary increments (percentage increase on the basic salary). The following table reflects the situation where faculty members are asked in the questionnaire about their agreement, concerning whether "Rewards are given immediately after Appraisal". Table 4-7 displays the responses to five selected statements about motivation and rewards at LAU.

Table 4-7
Performance Appraisal and Motivation

Please circle the number which reflects your opinion of the following statements.

	SD	D	U	A	SA
a- Rewards should motivate performance	2	16	12	26	24
b- Rewards are given immediately after completing appraisal (at LAU)	8	42	18	6	6
c- Desire to accomplish should be a motivator	2	4	2	42	30
d- Interest in work is a motivator	2	2	2	36	38
e- Success in performing a job is a motivator	2	2	2	26	48
f- Money is a measure of accomplishment	2	18	18	38	4
g- Rewards are attributed to ability	4	16	26	24	10
h- Rewards are attributed to skill	6	12	28	22	12
i- The needs of academic staff are considered before rewards are given	10	16	42	10	2
j- Type of job is considered before rewards are given	8	24	34	14	--
k- The organisational environment is considered before rewards are given	6	26	34	12	2
l- Managers are friendly with the staff	2	14	10	40	14
m- Managers allow employees to write their comments on appraisal forms	24	34	2	14	6
n- Managers encourage better employee education	8	14	20	30	8
o- Managers threaten employees with job loss	16	30	12	14	8
p- Managers offer employees moral support	4	12	18	40	6

Results in the above table show that there was a significant agreement on what motivates performance. 90% of the questionnaire sample (72 out of 80) considered the desire to accomplish as a motivator. Moreover, 92.5% agreed that interest in work as well as success in performing a job are motivators. A relatively lower percentage, 62.5%, agreed that rewards motivate performance. This decrease in agreement, relative to the other motivators could be attributed in part to the result that rewards are

not given immediately after the appraisal (Table 4-7). Moreover, 47.5% of the respondents agreed that money is a measure of accomplishment. 50% agreed that managers offered moral support and 37.5% agreed that managers actually encourage better employee education; however, only 17.5% agreed that managers allow employees to write their own comments on appraisal forms.

According to an Assistant Professor:

> "Delay in receiving rewards would be demotivating to faculty members in general, thus negatively affecting their performance. In order to have effective performance appraisal, rewards must be given directly after evaluation so as to reinforce behavior and stimulate individual motivation" (Interview Transcript, March 1999).

From the results of the interview and the questionnaire, it can be inferred that faculty members are motivated by money, interest in their work, recognition, and success in their job. Therefore, managers have to integrate both intrinsic and extrinsic rewards in a successful way to stimulate subordinates' motivation and consequently enhance performance.

When Rewards Are Given

Comparison Between Full Time and Part Time Faculty

The researcher was interested to know the views of the full-time and part-time faculty members regarding whether rewards are given immediately after appraisal. In the following table (Table 4-8) results show that 55.5% of the 54 full-timers disagreed, and 76.9% of the 26 part-timers held the same view. Among the part-timers only 7.7% strongly agreed that rewards were given immediately after appraisal. Knowing that part-timers do not receive increments based on the appraisal, the researcher was interested to know the reason behind their agreement. The researcher interviewed a part-time Instructor who made a point that " whenever a part -timer is always called back to lecture, this in itself could be a reward and an indication that she or he is doing well".

Table 4-8
When are Rewards Given?

Rewards are given immediately after completing appraisal:

Faculty members	Head Count	SD	D	U	A	SA
Full-time	54	4	26	14	6	4
Part-time	26	4	16	4	--	2

Comparing LAU Appraisal Scheme with Those of Other Universities

Three of the interview participants being or have been lecturers at different universities either in Lebanon or outside, compared the appraisal scheme at LAU with those at other universities.

Another full time Assistant Professor emphasized the 'trio' system of appraisal used in most U.S. Universities:

> "I am not sure how academically oriented it is. At general U.S. schools in a higher educational institution, where I have been active for the past six years, publications, teaching evaluations, and committees served have been used as criteria. In fact, most U.S. schools that I know of (hundreds') use the 'trio' system" (Interview Transcript, May 1999).

A part time lecturer who had been evaluated differently due to her employment in different institutions reveals the difference between her evaluation experience at LAU and another university in Lebanon:

> "At LAU, the Instructor is appraised by the supervisor according to criteria established by the supervisor himself or herself. These criteria are not communicated to the Instructor, or the result of the appraisals; however, as an Instructor, I can tell by the first choice, that as soon as I get courses to teach in the following semester, I will understand that I am doing a good job. This works if the Instructor is doing well and the supervisor realizes that. However this system or the lack of it, would create a lot of misunderstanding and misjudgment. At the other university, we are evaluated according to evaluation forms filled by the students towards the end of the semester. The results once obtained by the Dean's office are sent to us with a copy of the questionnaire and a diagram showing and explaining to us how the results are obtained. The Business School faculty members are also compared to other "scores" obtained by the educators in the Faculty of Arts and Sciences. To me, this is very effective because it shows and motivates me to do a better job! The results are also communicated to my direct supervisor i.e. the director of Business School who, based on the results, will hire us the next semester" (Interview Transcript, June 1999).

One of the part time faculty members (lecturer at both LAU and at X University in Lebanon) commented:

> "At X University appraisal is not conducted however at LAU I think there is some kind of appraisal but not direct and not communicated to faculty members especially part-timers. But we can indirectly access how we are appraised by being in the first place called again to lecture. Besides, being assigned upper level courses could be an indication that our performance is evaluated and accordingly we are given such offers. But again there is no direct communication of the feedback especially on negative performance" (Interview Transcript, April 2001).

Feedback

Comparison Between Full Time and Part Time Faculty

Feedback was measured with six questions (e.g. "Feedback is received periodically by the appraisee", "Performance appraisal provide feedback to employees as to how well they are doing their job", etc.).

The researcher was interested to know the views of the full-time and part-time faculty members regarding whether Feedback is received periodically by the appraisee. Table 4-9 results shows that 37% of the 54 full-timers strongly disagreed and disagreed, while 69.2% of the 26 part-timers held the same view. The difference in response rates reflects the fact that part timers receive little or no feedback in comparison to the full time faculty.

Table 4-9
Feedback

Feedback is received periodically by the appraisee:

Faculty members	Head Count	SD	D	U	A	SA
Full-time	54	12	8	16	14	4
Part-time	26	14	--	4	6	2

Assessing the Importance of Feedback

To investigate the factors that are most likely to be associated with feedback, a regression analysis was conducted using feedback as the dependent variable, and fifteen variables were taken as independent. The independent variables are control, motivation, support, reward, procedures, needs, environment, money, promotion, training, gender, marital status, title, department, and, years (The description of these variables based on the questions used is presented in Chapter Three). These variables are presented in Table 4-9. The results obtained from the regression analysis are presented in Table 4-10.

Table 4-10
The Regression Variables (Feedback)

Independent Variables (15)	**Dependent Variable**
- Control	- Feedback
- Motivation	
- Support	
- Reward	
- Procedures	
- Needs	
- Environment	
- Money	
- Promotion	
- Training	
- Gender	
- Marital Status	
- Title	
- Department	
- Years	

Table 4-11
Regression Output for Feedback

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	0.813	0.661	0.582	0 .63

ANOVA

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	49.062	15	3.271	8.320	0.000
	Residual	25.160	64	0.393		
	Total	74.222	79			

Coefficients

	Unstandardized Coefficients		Standardized Coefficients		
	B	Std. Error	Beta	t	Sig
(Constant)	-0.974	0.920		-1.059	0.294
CONTROL	-1.694E-04	0.094	0.000	-0.002	0.999
MOTIVATION	0.225	0.142	0.185	1.583	0.118
SUPPORT	8.460E-02	0.131	0.058	0.646	0.521
REWARD	-4.162E-02	0.094	-0.041	-0.445	0.658
PROCEDURES	**0.315**	**0.122**	**0.219**	**2.585**	**0.012***
NEEDS	0.231	0.145	0.202	1.597	0.115
ENVIRONMENT	-9.916E-02	0.127	-0.086	-0.780	0.438
MONEY	**0.542**	**0.130**	**0.491**	**4.155**	**0.000***
PROMOTION	-0.207	0.112	-0.175	-1.848	0.069
TRAINNING	0.176	0.141	0.152	1.249	0.216
GENDER	-0.287	0.197	-0.149	-1.454	0.151
MARITAL STATUS	0.197	0.203	0.094	0.970	0.335
TITLE	-8.575E-02	0.060	-0.166	-1.426	0.159
DEPARTMENT	6.017E-02	0.063	0.091	0.954	0.344
YEARS	**2.081E-02**	**0.010**	**0.185**	**2.184**	**0.033***

Dependent Variable: FEEDBACK
*** significant at 0.05 significance level**

The regression analysis yields the following equation for determining the dependent variable feedback:

Feedback = -0.974 + 0.315(Procedure) + 0.542(Money) + 0.0208(Years)
Significance *(0.012)* *(0.000)* *(0.033)*

The factors that proved to be significant in relation to feedback are: procedure, money, and years. The rest of the tested independent variables were found to have no significant relationship with feedback. Thus, further research is recommended. The positive sign of the coefficients of the variables, procedure, money, and years, indicates that there is a positive correlation between these variables and feedback in the appraisal process. The regression equation proved to be significant at the 0.05 significance level (95% confidence) with an F-value of 8.320 and a significance of 0.000 (Table 4-10). The coefficient of determination R^2 for this regression analysis is 0.661 meaning that 66.1% of the variation in the dependent variable is explained by variations in the independent variables. An R^2 of 0.661 is considered to be significant. 33.9% of the explanation cannot be attributed to the regression analysis but to other factors beyond the scope of this study. Thus, further research is needed to verify the significance of the result.

When the interviewees were asked about the importance of feedback in the appraisal process an Associate Professor said:

> "When performance appraisal is used as a process to provide feedback to faculty members on how they are doing in order to maintain or improve performance, provided that all participants involved in the process understand this purpose, there will be less resistance to it because the focus is developmental in nature" (Interview Transcript, February 1999).

An Assistant Professor insisted on the need for feedback and for faculty members' involvement in setting the criteria for evaluation. She commented:

> "I think that feedback is very essential in the appraisal process and it should be communicated face-to-face so that the faculty member has the chance to defend himself or herself in case there are any misunderstanding and to discuss the negative performance and the ways of improving it. I think that if we as faculty members are involved in setting the criteria of the evaluation (MBO) or even be informed about it at some point, we would be more inclined to improve our performance as much as possible to meet the mutually set criteria" (Interview Transcript, April 2001).

A part time Instructor added:

> "If performance appraisal is well understood and if the development process is participative, the lack of technique argument will be diminished" (Interview Transcript, March 1999).

Collaboration and Professional Development Among Faculty Members

The participants in the interview were asked to briefly express their views on professional development. The responses were received as follows: 29 of the 40 participants thought that it would involve extra work and collaboration within the department. They were aware that professional development in higher educational institution would involve additional publications in refereed journals. They also realised that this would result in a better service to students by using up to date technology and visual aids. This improved service reflects on the institution and thus leads to increased professional development and to increased faculty member satisfaction.

When asked about the attitude of faculty members toward professional development, a faculty member said that, "Professional development motivates the handling of more responsibilities that leads to empowerment" (Interview Transcript, June 1999).

When asked about their opinions in participating in a conference or a seminar, only five out of the forty participants reported that they had participated in or are preparing for one. They agreed that through collaboration they would achieve professional development in their career since as one faculty members puts it "collaboration will lead to more research and likely to more publications" (Interview Transcript, May 1999). Those who had not participated or were not planning to participate in conferences said that they lack the time to do research since they are teaching a full load, i.e. 12 credits. Part-timers, most of who work outside the university, also claim that they do not have the time for collaboration. 20 of the full-timers commented that collaboration is a time consuming process. They suggested a course exemption in return for research work; that is, "a full-time faculty member should teach only nine credits instead of twelve besides undergoing a collaborative research project" (Interview Transcript, May 1999).

Two interviewed faculty members worked collaboratively at the Business School on a management conference at LAU (June 2nd and 3rd, 2000). The program brought together experts, professionals, researchers, practitioners, and leaders from Lebanon, the Arab world and the international community. Moreover, these two faculty members were involved in a collaborative project conducted at the Business School. The following had a positive impact on their professional development.

As regards professional development, 29 faculty members approved that it is an important issue especially for promotion, which involves personal growth and self-empowerment.

One full-time Professor said that:

> "Staff development will create new learning opportunities for faculty members and suggest new roles and responsibilities for them" (Interview Transcript, July 1999).

In the same regard, another Instructor stressed that:

> "It is essential to identify research and practice that may be useful to the educational institution in planning and conducting professional development" (Interview Transcript, May 1999).

One of the interviewed Associate Professors highlighted the importance of coordination of faculty development activities within the university:

> "In order to make the most efficient use of human and material resources throughout the university, there should be a coordination of faculty development activities among the university schools" (Interview Transcript, April 1999).

Universities should be backed up with sufficient opportunities for career development and advancement. One Instructor remarked:

> "Appraisal should be linked with career development, so far, appraisal process seems largely detached from the main activity of the university" (Interview Transcript, March 1999).

An Instructor concluded the interview by highlighting the importance of professional development:

> "Professional development should be of main concern to every faculty member especially in higher education. Investment in professional development can lead changes in the way of teaching and in research" (Interview Transcript, July 2000).

However, two part-timers had a different point view regarding collaboration and professional development. They emphasized its importance in higher educational institutions but stressed on the fact that their status as part timers at LAU and the fact that they are short of time makes it almost impossible to join hands and collaborate with faculty members.

A part time instructor said that:

"We are in need for professional development to prosper and develop in the educational field. But between my job outside the university, the classes, the office hours, and the necessary class preparation it just seems impossible to spare any time for collaboration and professional development" (Interview Transcript, May 1999).

Another part time instructor also noted the following:

"I teach at two different universities other than LAU, and this requires great effort and dedication. I believe collaboration and professional development will be time consuming, and will hinder our academic performance in class" (Interview Transcript, May 1999).

The following chapter is designed to further analyze the findings of the study directly related to the potential improvements of the appraisal scheme at LAU.

Chapter Five

Analysis of Findings

Potential Improvements of Appraisal Scheme at LAU

After examining the Performance Appraisal scheme implemented at LAU, the researcher was interested in investigating the sort of appraisal scheme, which participants might prefer. The purpose of this chapter is to present and discuss the findings recommended by the respondents for improving the current appraisal scheme at LAU.

This research considers the possibility of using 360 degree appraisal, which is new in higher education. It uses information from a wide range of sources; from superiors, peers and subordinate staff. This evaluation method has been recently applied to higher education institutions and consequently there are at present no references to its application in the field (Chapter Two).

The chapter is designed as follows: Improving the Appraisal System; Who Should Carry out the Appraisal Process; 360 Degree Feedback; and Mentoring.

Improving the Appraisal System

When it comes to improving the present appraisal system, one of the interviewed Instructors said:

> "The evaluation should be carried out by the students, and the results and scores obtained by the Dean of Business School with some sort of appraisal by the direct supervisor. The criteria should be decided upon by a committee from all departments and should apply to all of the different positions at different levels, i.e. standard evaluation for the Instructor, one for Assistant Professor, one for Associate Professor and one for full Professor. The Instructor should have a copy of these criteria and the exact job description in his contract. Once the evaluations are done, the results should be communicated back to the faculty member with a comparison to other faculty members in the same position and teaching the same course" (Interview Transcript, June 1999).

Another Instructor, whilst commenting on the same issue, stressed the need for a systematic appraisal system:

> "The appraisal system should be carried out very objectively to avoid subject bias in formal appraisal habits by applying MBO as a tool to keep the appraiser and appraisee informed about the criteria of appraisal. And of course the system, to be implemented, should guarantee feedback and establish a clear link between feedback, rewards, and punishment" (Interview Transcript, May 1999).

During the Arab Conference on Information Technology (ACIT'2000, October 31st - November 2nd), the researcher had the opportunity to learn about the appraisal schemes applied in a university in Austria. The researcher asked the Keynote Speaker Professor Johann Gunther about the issue. He said that students have to evaluate the lecturer online following each class and accordingly the lecturers are rated. If they receive a low rating for three consecutive times, they will be automatically fired.

With regard to the objectivity of appraisal, a part time Instructor suggested:

> "Just as some final exams of students are evaluated using the multiple scoring method, it is more objective to have more than one score or source of evaluation. In the academic setting, these are the peers, previous students, direct head of departments and/or coordinator and above all oneself, based on a set of criteria. And the evaluation is either done by filling out a set form or written freely by the evaluators" (Interview Transcript, May 1999).

When asked about how performance appraisal schemes continue to be monitored and evaluated, a part time Assistant Professor suggested:

> "The performance appraisal scheme should be compared with schemes carried out elsewhere (for example at AUB). The needs and the view points of the faculty members should be discussed resulting in an updated scheme" (Interview Transcript, June 1999).

The frequency of appraisal was also of concern in the interviews. 32 of the faculty members agreed that conducting appraisal annually would be appropriate if feedback is provided on continuous basis throughout the academic year.

Who Should Carry out the Appraisal Process

There are a wide variety of viewpoints regarding who should carry out the appraisal process. According to the Deans and Chairpersons, appraisal is within their job description. However, only 5% of the questionnaire sample (4 out of 80) reported that the Department Head should conduct and should be responsible for the appraisal process (Table 5-1). In large departments it is impractical for the head of the school or division to perform all the review.

One approach to appraisal is the 360 degree feedback form of appraisal, which gives the appraisee the opportunity for feedback from senior staff, peers and subordinates. Since it comes from several sources, the information is very powerful and can be very useful because the diversity of the appraisees tends to eliminate the possible biases. 360 degree appraisal is a unique process whereby managers can receive feedback on their skills and effectiveness. Department heads should also have their performance reviewed by the same process, thus leading to a better commitment in higher educational institution, as discussed in Chapter Two.

Respondents were given five suggestions (Yes/ No) to reflect their opinion on who should be involved in appraising them. The frequencies of the responses in the five categories to each of the five suggestions are shown in Table 5-1.

The data reported in table 5-1 indicates that there was considerable disagreement on who should be involved in appraising individual performance, but 60% of respondents asked for the involvement of students, colleagues, subordinates, Deans, etc. (360 degree appraisal). This statement contradicts the job description of the Deans and the Chairpersons.

Table 5-1
Who Should be Involved in Appraising Individual Performance?

Please tick who should be involved in appraising individual performance?

	Yes	Percentage
a- the individual academic concerned	15	18.8 %
b- A senior member (not the head of department)	7	8.8 %
c- The head of the department	4	5.0 %
d- The students, colleagues, subordinates, Deans, etc. (360 appraisal)	48	60.0 %
e- Others	6	7.5 %

Further opinions of the 80 participants are presented in Table 5-2 below. The results indicate that 92.5% of the 80 respondents agreed that further systematic procedures for the appraisal of individuals are necessary for professional development. Besides such procedures for the appraisal of departments were deemed necessary by 72.5% of the respondents. Regarding the role of department heads in helping and supporting staff, 85% agreed that they should take an active part in assisting faculty members in the development of their teaching skills (e.g. discussing course materials). 90% agreed on the same role of the heads of departments to develop their research (e.g. give advice with research proposals). For the heads of departments to perform their roles effectively, it was agreed by 65% of the respondents that the university should provide training for the heads of departments as well. There was a significant agreement of 90% on the importance of an annual interview whereby faculty members discuss with supervisors their performance over the last year and their aspiration for the future that the academic staff should have an annual interview.

Table 5-2
Role of the Heads of Departments in the Appraisal Process

Please circle the number which reflects your opinion of the following statements

	SD	D	U	A	SA
a- Further systematic procedures for the appraisal of individuals for their professional development are necessary.	-	2	4	42	32
b- Heads of departments should take an active part in helping and supporting staff in the department to develop their teaching (e.g. discussing course materials or attending classes).	-	8	4	42	26
c- Heads of departments should take an active part in helping and supporting staff in the department to develop their research (e.g. advising in research proposal).	4	-	4	48	24
d- All academic staff should have an annual interview at which their performance over the last year and their aspiration to the future could be discussed.	-	2	6	48	24
e- Further systematic procedures for the appraisal of departments for their professional development. are necessary	4	2	16	38	20
f- The University should provide training for heads of departments	2	14	12	28	24

360 Degree Feedback

A few participants in this study were already familiar with the concept of 360 degree appraisal and thus offered comment. An Instructor insisted that:

> "Top level administration support and commitment to change the actual appraisal scheme including the necessary resource allocation for 360 degree appraisal implementation is vital to the success of performance appraisal implementation. It is important to recognize that changing the actual performance appraisal into 360 degree feedback in higher education is a major process. And when the purpose of performance appraisal for the University is determined, communicating this information to all participants is crucial" (Interview Transcript, May 1999).

Another Instructor commented:

> "It is important to note that implementing a 360 degree appraisal scheme in higher education is a major change. Thus a consideration of changing process implementation, especially when applied to higher education is necessary. Hence keeping faculty members informed as well as involved in the change process contributes to more effective problem posing and solving" (Interview Transcript, May 1999).

One of the interviewed Assistant Professors stressed that:

> "Keeping all members not only informed but also involved in the change process contributes to more effective problem posing and solving. Thus emphasizing on communication is vital to learning" (Interview Transcript, June 1999).

According to an Instructor:

> "Students and faculty members are closer to the appraisee than the Chairperson or the Dean of a school. Therefore, if universities use 360 degree appraisal, there will be an opportunity for those closest to the employee (appraisee) to evaluate how well faculty member is doing and whether or not it can be done better" (Interview Transcript, July 1999).

Another Instructor added:

> "In my opinion I believe the faculty appraisal should not only be in the hands of the Chairperson or Dean or even students, for the former is not involved in every aspect of the faculty involvement i.e. teaching, coaching, mentoring, researching etc. and the latter may not be mature enough or judge the faculty on the one aspect such as grading or personal liking etc. A 360 degree appraisal would confirm the evaluation of the faculty by different groups and so might eliminate biases. Suggested groups: students, colleagues in frequent contact with the faculty member (and/or teaching a multi section course), Chairperson, Dean or it could be graduating students (similar to exit interview) evaluating the program, school and Professors to minimize biases and to improve the system of appraising" (Interview Transcript, July 1999).

According to an Associate Professor:

> "If 360 degree appraisal scheme is carefully introduced and assessed, then faculty members will realize their full professional potential by providing them with better job satisfaction, and better career development as it will allow them to improve within their own chosen field" (Interview Transcript, June 2000)

So far the findings indicated that faculty members want to be more involved in the appraisal process. The following can be achieved by implementing the 360 degree feedback, which, as stated by an Assistant Professor, "allows for people from all hierarchies to put their point across and lets individuals from all levels to be heard" (Interview Transcript, May 1999).

Regarding the aspect of faculty members evaluation, another faculty member insisted that: "Class enrolment and grading should never be a part of appraisal by which faculty members are judged and their performance being evaluated."

The same Instructor, when asked about who should appraise, said:

> "Our department is not using a real scientific method for appraising and I don't believe that one person can play God especially when he or she is not observing your teaching methods or using an effective appraisal scheme such as 360 degree feedback, whereby many are involved in evaluating the individual faculty member" (Interview Transcript, April 1999).

One of the main issues raised during the interviews, concerning the implementation of the 360 degree appraisal scheme, was the core contribution of the system -if well implemented- to the development of faculty members' performance in pursuit of achieving the University's objectives.

One of the interviewed Instructors reported that:

> "Many of the 360 degree feedback benefits accrue to those using the process for the development of the faculty's performance. Each one of us will have the opportunity to assess the information to see how he or she is performing. It is also important to note that it is up to the faculty member alone to improve performance by either accepting the evaluation being positive or negative or just ignoring any negative feedback and resisting changes" (Interview Transcript, January 2000).

Another Instructor, added:

> "If a 360 degree appraisal scheme is carefully introduced and assessed, then faculty members will realize their full professional potential by providing them with better job satisfaction, and better career development as it will allow them to improve within their own chosen field."…. "Higher educational institutions should encourage flexibility and change, by applying 360 degree appraisal, which appears to achieve a sense of departmental commitment to the process" (Interview Transcript, June 1999).

The result gained using 360 degree feedback is more powerful than the immediate supervisor appraisal and thus can help in the development of faculty members. 33 of the 40 participants prefer to have a multi-rater process since it minimizes bias and hence creates a system whereby they are more fairly evaluated. One of the interviewees insisted that "the fairness of evaluation is a highly important factor in the appraisal process, as the results would lead to a better job satisfaction and better career development. They may also affect salary increase, as a better appraisal may lead to promotion" (Interview Transcript, December 1999).

20 faculty members out of the 40 participants agreed that implementing a 360 degree feedback in higher education is a costly and time consuming process because of collecting and analyzing data from various sources involved in the evaluation. Analyzing the retrieved data requires well- trained appraisers.

Mentoring

Despite the fact that there are no formal mentoring programs at LAU, the researcher was interested in assessing how faculty members perceive the importance of mentoring in higher educational institutions. One of the interviewed full-time Professors emphasized:

> "Mentoring and professional development are highly associated since mentoring offers support by providing individuals with someone who can give feedback, guide and support. However, at LAU there are no apparent mentoring programs. It should be included in the job description of the full time faculty members. For more successfully implemented mentoring programs, training should be provided for mentors as well because they should have the ability to listen, personal qualities of openness and accessibility" (Interview Transcript, January 2000).

One of the interviewed Instructors when discussing the importance of mentoring commented that: "Mentoring should focus on development and empowerment of faculty members and not only on helping new faculty members" (Interview Transcript, January 2000).

When asked about the mentor/protege relationship one Instructor said that:

> "Serving as a mentor will bring newly hired faculty members together with old faculty members (mentors). This type of arrangement would provide faculty members an opportunity to talk with each others, collaborate and learn from each others research findings if any" (Interview Transcript, July 2000).

Another Instructor commented:

> "The relationship should be based on trust and confidentiality or else it will fail especially if unsuitable mentors are appointed" (Interview Transcript, May 1999).

A third Instructor added:

> "Mentors should be good listeners as well as effective in sharing ideas and giving advice. Needless to say the mentor should be good in generating solutions for any problem that might arise while training the new faculty members" (Interview Transcript, August 2000).

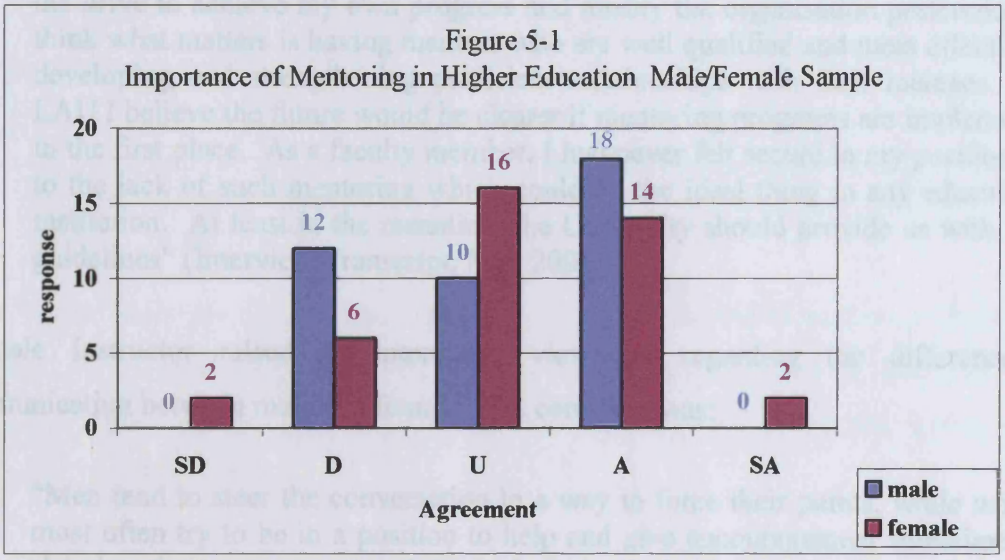
In effect, as one interviewed Assistant Professor put it:

> "Those who receive the support of mentors will be more goal-directed, increasingly serious about the importance of detail, self-confident, reflective, and certain about their commitment to educational leadership as a continuing career goal" (Interview Transcript, July 1999).

Gender and Mentoring (male/female views)

The researcher was interested to know the views of male and female faculty members regarding the importance of mentoring in higher educational institutions. Results presented in Figure 5-2 show that both male and female faculty members held almost similar views, whereby 45 % of the male faculty members (18 out of 40) and 40 % of the female faculty members (16 out of 40) agreed that mentoring is an important issue in higher education. However, 20% of the females and 30% of the males disagreed.

Figure 5-1
Importance of Mentoring in Higher Education Male/Female Sample



The researcher raised also the issue of gender and mentoring during the interview to investigate whether the personal relationship at the heart of mentoring can be problematic when mentor and mentee are of different genders. Three faculty members, two males and a female gave interesting and different viewpoints. The female Instructor when asked about her preference regarding the gender of the mentor commented that:

> "As long as the mentoring programs are formal, which also means formal relationship between the mentor and the mentee, I think the gender issue would not be problematic. But we can't deny that sometimes the informality of the relationship is essential for its success, thus leading to effective mentoring programs. If this is the case, I prefer a female mentor but who is also well qualified to be a good mentor. However, in my opinion, women sometimes abuse their powers if they are put in a position of power, that is to say they become bossy especially if their mentees are also females. Sometimes women who reach good positions tend to be sympathizing and try to be most helpful as means to securing their positions" (Interview Transcript, May 2001).

While a male Assistant Professor, referring to his experience outside the University, said:

> "I had both types of mentors and found that gender preferences were never an issue in the mentoring relationships. What really governed the relationships was the drive to achieve my own progress and mostly the organisation preferences. I think what matters is having mentors who are well qualified and most effective in developing and strengthening proficient relationships with their mentees. For LAU I believe the future would be clearer if mentoring programs are implemented in the first place. As a faculty member, I had never felt secure in my position due to the lack of such mentoring which could be the ideal thing in any educational institution. At least in the meantime the University should provide us with clear guidelines" (Interview Transcript, May 2001).

A male Instructor raised an interesting viewpoint regarding the difference in communication between male and female. His comment was:

> "Men tend to steer the conversation in a way to force their points, while women most often try to be in a position to help and give encouragement sometimes by showing their agreement to the raised views during a conversation. Therefore, specific styles of communication should be of main concern in mentoring programs so that the such differences would not dramatically affect the effectiveness of the mentoring relationships" (Interview Transcript, May 2001).

Disadvantages of Mentoring

Despite the numerous benefits arising from mentoring programs, accruing to both the protege and the mentor, there are still certain disadvantages: Mentoring is quite demanding in terms of the emotional support that mentors have to give the trainees.

When asked about the disadvantage of mentoring a full time Assistant Professor said:

> "Mentoring programs could be time consuming for full time faculty members who have to teach a minimum of 12 credits per semester equivalent to 4 courses on an average. So if for example I am chosen to be a mentor, I would ask for decreasing my teaching load to 9 credits" (Interview Transcript, January 2000).

An Instructor asked to comment on this issue attributed the disadvantages of mentoring to the potential problems arising between mentor and protege. He mentioned that: "mentoring relationships unfortunately do not always succeed as expected. For example, the new educator may expect too much from the mentor and may be demanding detailed answers and solutions to all his questions and problems" (Interview Transcript, July 1999).

Another Instructor member added:

> "Some mentors may be reluctant in letting the trainees become independent and this situation may be unhealthy for the new faculty members and the institution as a whole" (Interview Transcript, July 2000).

Based on the literature review, the researcher designed a model to support performance appraisal. The model was then reviewed by participants in order to integrate their suggestions. One of the interviewed Assistant Professor suggested the insertion of mentoring. She asserted:

> "Mentoring is a vital step in the performance appraisal process. Higher educational institutions, including LAU, should implement mentoring. Mentoring is a building block in the development and progression of both the appraiser and appraisee. Mentoring will eventually lead to both professional development and staff development. All of which will lead to the development of the educational institution as a whole" (Interview transcript, July 2001).

Using the views and information gained from participants, the researcher integrated mentoring and all participants eventually suggested the implementation of this model at LAU. Their rationale, as echoed by a full time Instructor, was:

> "By using the suggested model, the University could improve its communication channels. In effect, appraisal will provide a situation where efforts are acknowledged and feedback on performance given, thus leading to a better understanding between supervisors and faculty members" (Interview Transcript, July, 2001).

The following chapter is designed to further analyze the findings of the study based on the documented literature review (Chapter Two).

Chapter Six

Discussion of the Existing Appraisal Scheme at LAU

Introduction

The first step in conducting this research was to assess the extent to which faculty members were aware of the appraisal system followed at the University. The research revealed that 92.5% of the questionnaire sample (74 out of 80) reported application of such systems. In general it can be implied from the responses that the Supervisor Appraisal is used at the School of Arts and Sciences and the School of Business. However, Supervisor Appraisal alone does not give accurate information related to employee's actual performance since the supervisor is not always in the best position to observe an employee's (subordinate) performance (Latham & Wexley, 1981; Vecchio, 1995). In other organisations this method is used for about 95% of performance evaluations at the lower and middle organisational levels (Robbins, 1998).

The researcher also found that faculty members' awareness varied between full-timers (96.3%) and part-timers (84.6%), whereby part-timers seemed to be less perceptive of the adopted appraisal system. One of the reasons for this difference in perception could be that part-timers, unlike full-timers do not receive salary increases according to their performance evaluation, since they receive specific set rates. Besides, the lack of communicating the results of appraisal could in part explain part-timers' unawareness of their evaluation. This lack in communicating the evaluation's results to almost all faculty members could be an attribute for the faculty members' unawareness (7.5%) of the presence of an appraisal system in the institution.

Importance of Communication

37% of the 54 full-timers either disagreed or strongly disagreed, and 69.2% of the 26 part-timers strongly disagreed regarding the fact that feedback is received periodically at LAU. Moreover, the findings of the regression analysis showed that feedback is significantly correlated with three variables, procedures, money, and years of experience. The positive and significant relationship with procedures could be attributed to systematic and well-developed appraisal procedures promoting timely and effective feedback. This in turn is likely to lead to higher levels of achievement, which is reflected in the earnings. Finally, the level of seniority represented by the variable 'years of experience' can also play a role in deriving more timely feedback. People with a higher seniority level may know more about the procedures. At the same time, they probably have a higher opportunity for getting an informal feedback from the supervisors concerned.

This finding fits in with the appraisal literature that performance feedback has been shown to positively influence learning. Appraisals, by providing feedback to employees, serve as vehicles for personal and career development (Cascio, 1989, p. 309). Feedback also verifies the importance of supervisor-employee communication for effective management. Ongoing feedback about performance is a formative evaluation process that creates a valuable learning environment (Jablin, 1979).

All the interviewed faculty members were dissatisfied with the lack of communication and emphasized the importance of communicating the appraisal results to faculty members. As commented by most participants, the supervisors (Deans and Chairpersons) should have clear and frequent discussions with the appraisee to reinforce the positive and focus on improving the negative aspects of his or her performance. They also suggested further discussions with other faculty members of the same department as a way to fairly judge every aspect of the appraisee's performance. Oberg (1991) indicated that the lack of communication results in employees not knowing the standards by which they are being rated, and in turn results in an inefficient appraisal system for management decisions, organisational development, or other purposes. Kempton (1995) argues that

nothing is being achieved when the appraisal process involves little listening and no feedback. "It seems like a pointless waste of time and resources when the activity is not being respected" (p. 157). A person who knows by which standards he or she is being judged, even if he or she thinks the standards are too high, knows specifically how to perform differently if he or she wants a higher rating next time (Oberg, 1991). The results of the interviews presented in Chapter Four show that faculty members were not informed about the result of the evaluation, in addition to the fact that no face-to-face interviewing was done.

Findings from the interviews showed that all participants emphasized the importance of face-to-face discussions between the appraiser and the appraisee. According to the interviewees, face-to-face interviews should discuss the current job, standards of performance, weaknesses, improvements, and future plans. They believed that such discussions would produce mutual understanding and agreements concerning job duties and responsibilities based on the mutually discussed and agreed upon standards of performance. Elliott (1993, p. 176) considers that, "Individual teachers cannot significantly improve their practices in isolation without opportunities for discussion with professional peers and operating in a significant role relationship to them". Hutchinson (1995) argues that the discussion of the evidence in the appraisal interview would be directed at better understanding, and at how the practice might be improved.

There was an agreement among the interviewees on the role of communication and collaboration in enhancing performance. Their rationale was that effective communication and collaboration would lead to mutual understanding between the faculty members and the supervisors on the appraisal standards. In order to bring about real changes in faculty members' morale, senior staff need to provide clear objectives as well as a "listening ear" (Caudron, 1996, p. 26).

Among all participants, there was strong support for conducting annual interviews. To be most effective, performance appraisals must be a continuous process of frequent communication, with the purpose of the evaluation clearly documented and

communicated to those involved (Fortunato and Waddell, 1981). This also concurs with the findings of Rutherford (1988) who found a strong and positive reaction of staff to the suggestions for an individual annual interview, providing a focus for career development, and bringing together a detailed analysis of a department's past performance with an academic plan for its immediate future.

Purpose of Appraisal

Participants in this study thought that performance appraisal is a major tool to assess, evaluate, and recognize achievements, as well as address weakness and show ways to improve performance (Refer to Table 4-4 for the statistical figures). The result of the regression analysis, with control as the dependent variable in the appraisal process showed a significant negative correlation with Motivation (see Table 4-6). This emphasizes that appraisal in not for controlling individuals because in a close controlling atmosphere, individuals cannot be well motivated. High levels of control would imply a directive rather than a participative approach, which would negatively affect the effectiveness of a communication.

Almost all the participants in the interview sample said that any organisation could not have a fully functioning human resource without having a well-developed effective system of appraisal. They said that the effective system had to be developmental in nature since it provides opportunities for growth and advancement, and it develops areas where faculty members have deficiencies. Bradley (1992, p. 127) said that, "the goal of a great appraisal system is for professional development. It is not about the ranking or grading of teachers nor is it about the weeding out of poor teachers, it is to create an environment where everyone is used to the best of their abilities". "Effective performance measurement systems make people feel good about themselves and self esteem is the key to productivity" (Fitz-enz, 1995 p. 263). One participant commented, "it could be more rewarding and satisfactory to hear a gratitude for good performance like a simple 'well done' than a bonus pay cheque" (Interview Transcript, March 2000).

Performance Appraisal and Promotion

Robbins (2001) argues that supervisors tend to reward their subordinates after the appraisal is completed, based on their abilities and skills that have been recognized from the performance evaluation. 62.5% of the questionnaire sample (50/80) in this study agreed that rewards, if properly and immediately given after appraisal, motivate performance. However, 62.5% believed that rewards at LAU were not given immediately after the appraisal, a situation that could, according to the viewpoints of the interviewees, demotivate faculty members and in effect negatively affecting their performance. Faculty views on this reflected their employment status. 55.5% of the full-timers and 76.9% of the part-timers believed that rewards are never given directly after evaluation. Delay in rewards could have affected the faculty members' perception of the relationship between appraisal and their promotion and rewards, which are not effectively acting as incentives to improve performance. Thus, appraisal would appear to have little effect on motivation and performance. This concurs with the findings of Haslem et al. (1993b, p. 479) who pointed out "over half felt that appraisal had not improved their motivation or performance, but they did not feel that their morale had deteriorated as a result of appraisal implementation". They concluded that in general university staff feel that appraisal had little impact on their motivation, efficiency and performance.

The findings showed that most of the interviewed faculty members (25 out of 40) agreed that appraisal should play a role in promotion procedures and merit pay rewards. As argued by McGregor (1990), supervisors cannot escape making judgements about subordinates. Without such evaluations, salary and promotion policies cannot be administered fairly. According to Montgomery (1991), appraisal can function as an indicator for reward and promotion although this should be neither the main reason for conducting appraisals nor should this be given without a full appraisal. "Appraisal functions for reward and promotion still remain purposes to which appraisal should not be directed although neither should be given without a full appraisal. There are insufficient rewards and promotions in teaching to give recognition to the wide range of staff who deserve them" (Montgomery, 1991, p. 42). Appraisals should support personnel decisions to promote outstanding performers; to weed out marginal or low

performers; to train, transfer, or discipline others; and to justify merit increases (or no increases). In short, appraisal serves as a key input for administering a formal organisational reward and punishment system (Cascio, 1989). However, a few participants (5/40), during the interview, could not see any relationship between career advancement and the appraisal process. They argued that performance appraisal would not improve promotions but it would add to the workload of the faculty members. Rowan (1995) argues that the appraisal system is developmental, not deficiency seeking.

Collaboration Among Faculty Members and Professional Development

Collaboration was perceived as an important process by a limited number of participants in this study. Five faculty members out of forty agreed that through collaboration they would achieve professional development in their career, since collaboration will lead to more research and probably to more publications. Collaboration among faculty members, and between them and their principals, has been advanced as one of the most fruitful strategies for fostering teacher development whereby educators can learn from each other, share, and develop their expertise together (Hargreaves, 1992). Teachers like to be both active participants in the shaping of the agenda of change and recipients of support in the task of implementation. According to Woodburne (1958), when the administration is in touch with faculty needs and concerns and when the faculty members are consulted regarding administrative policies, a committed climate is created and this two-way communication may prevent any internal conflicts and breakdowns.

One of the main issues of collaboration was raised by an Assistant Professor concerning the additional costs needed to provide the collaboration time. He questioned if the cost of collaboration will act as an impediment in fostering effective collaboration. Raywid (1993) emphasized the availability of time to collaborate as the most important in the process of undertaking and then sustaining improvements in higher educational institutions. Unless extra energy requirements are met by the provision of time, a change in any educational institution is not likely to succeed (McLaughlin, 1991; Fullman and Miles, 1992 as cited in Raywid, 1993).

Participants in this study, commenting that collaboration is a time consuming process, suggested being exempted from teaching a course in return for carrying out research work. In this case a full-time faculty member should teach only nine credits instead of twelve besides taking part in a collaborative research project. Many educational institutions are experimenting with creative ways to find time for shared reflection. For example, meeting days could be added to the yearly calendar. However, Prager (1992 as cited in Raywid, 1993) argued that collaborative time alone could not assure success. How time is used is crucial, but finding it is more necessary. Raywid (1993) and other investigators have identified the following general approaches to finding collegial time: freeing up existing time, restructuring or rescheduling it, or using it better. It is critical to choose the way to provide this collaboration time that is not likely increase costs substantially. Often educators are willing to contribute some of their own time, but quite reasonably are unwilling to shoulder the full cost of the system. The responsibility to provide collaborative endeavor for school adequacy rests with schools, not individual educators. The time necessary to examine, reflect on, amend, and redesign programs is neither auxiliary to teaching responsibilities, nor is it released time from them. It is absolutely central to such responsibilities and essential for any educational institution to succeed (Raywid, 1993). Bernardin and Beatty (1984) recognize the necessary commitment of time and effort on the part of the members of the organisation. Without this commitment, no performance appraisal system will work effectively. They note that once appraisers become comfortable with the system, the required effort should be reduced.

The interviews showed that the full-time faculty members believed that professional development is essential because it involves growth and empowerment of the individual. 29 of the 40 interviewed faculty members approved that professional development is an important issue especially for promotion, which involves personal growth and self-empowerment. As highlighted in the merit-based pay plans guidelines of the University of California Santa Cruz (UCS), performance appraisal is intended as a means of measuring and enhancing individual, team, and institutional performance, fostering professional development and career growth, and aiding in the determination of merit

increases (UCSC, 2000-01). The faculty members in LAU also insisted that any appraisal process to be implemented in the University had to be highly directed towards the development of the faculty members. Abdal-Haqq (1996) found there has been a growing appreciation for the potential impact of professional development on the overall educational institution, not just individual development.

The issue of time was of main concern in the discussion about professional development with faculty members. Part-time faculty members commented that there is not enough time for professional development since they are working outside the university as well. All the interviewees suggested that the University should provide substitutes and educators aides so that faculty members can attend staff development activities and work together. Faculty-to-faculty partnership is also important to induct new faculty members and provide experienced Instructors and Professors opportunities to help each other and implement new strategies. Such requirements/demands led Montgomery (1991) to reflect on the resourcing of appraisal and staff development.

However, the same participants argued that professional development would involve extra work and collaboration within the department. They were aware that professional development in higher educational institutions involves additional publications in refereed journals. But the fact that publication is one of the criteria for promotion could encourage faculty members to improve their performance. Faculty members to be promoted should engage in a research work and publications thus improving their professional development. There was a realization that this would result in a better service to students by using up-to-date technology and visual aids (Karkoulian and Busher, 2000). Such an improved service would reflect on the institution, thus leading to increased professional development and hence satisfaction of the faculty with their job.

The following chapter will present the discussion of the faculty members' proposal on how to improve the appraisal scheme at LAU.

Chapter Seven

Discussion of Potential Improvements in the Appraisal Scheme at LAU

Improving the Appraisal System

Out of the 80 respondents, 92.5% agreed that further systematic procedures were necessary for appraisal. The frequency of appraisal was also of concern in the interviews. Moreover, 90% of the questionnaire sample agreed that all academic staff should have an annual interview, where their performance over the last year and their future aspiration could be discussed. The question, who should carry out the appraisal, was as well of major concern to the participants, 60% of the respondents- questionnaire sample - suggested the involvement of students, colleagues, subordinates, Deans and Chairpersons (i.e. 360 degree appraisal) in appraising faculty members' performance. This concurred with Grote's opinion that "the quality movement has been a strong force in promoting the notion that those closest to the work are in the best position to evaluate how well it is being done and how it can be done better" (Grote, 1996, p. 292).

Participants in this study – in both the questionnaire samples and the interview - who insisted on the need for a major change in the appraisal process, emphasized the importance of involving faculty members in the change process. Their rationale was that their active participation would contribute to more effective problem posing and solving as well as increasing their commitment to initiate and accept change.

Most of the participants in the interviews stressed the need for a systematic appraisal system and emphasized that the appraisal system should be conducted objectively and should guarantee feedback. They also emphasized that results should be continuously communicated to the faculty members and compared to the results of other faculty teaching the same courses. 32 faculty members in the interview sample suggested that it would be more appropriate to conduct the appraisal annually with feedback being provided on a continuous basis throughout the academic year. According to Caruth

(1986) and Gomez-Mejia et al. (1995), appraisal is usually performed annually, and this is believed to be a fairly good indicator of the frequency of conducting appraisal in most establishments. A study by Rutherford (1988) showed that staff found the annual appraisal acceptable. The rationale was that an individual annual interview would provide a focus for career development, would bring together a detailed analysis of a department's past performance, and would include an additional academic plan for its immediate future. Obviously, however, it is also possible, as pointed out by Caruth (1986), to conduct a formal appraisal more than once a year, but when the appraisal is providing feedback on a daily, weekly or monthly basis, a formal appraisal would be needed no more than once per year.

The interviews in this study also reflected the same agreement among participants on implementing the 360 degree appraisal system. All the participants held that changing the actual performance appraisal into 360 degree feedback in higher education would be a major process. 33 out of the 40 interviewed faculty members preferred a multi-rater process since it minimizes bias. It allows those closest to the appraisee, like colleagues and students, to evaluate how well a postholder is performing and in what ways it could be improved. During the interviews, some participants stressed that the fairness of appraisal is important, as good results might lead to better job satisfaction and career development.

Participants thought that the 360 degree appraisal offered a more comprehensive view of the appraisee's work. They emphasized that it is more objective to have more than one source of evaluation. This concurs with the views of Kermally (1997) and Canaan (2000) that a 360 degree assessment provides a comprehensive summary of an employee's skills, abilities, styles and job-related competencies, because feedback is collected from all around an employee, from his or her supervisors, subordinates, and peers. This feedback has the ability to improve the quality of information that individuals receive in regards to the quality of their performance (Grote, 1996). Each of the usual feedback providers - an employee's supervisor, subordinate, peers- offers unique perspectives on the employee's performance and potential.

The overall agreement amongst participants for improving the current system to a more systematic appraisal process gave rise to the views on change in higher education. Most of the interview participants emphasized, as echoed by a faculty member, that top administration should support and be committed to changing the actual appraisal scheme and keeping all members not only informed but also involved in the change process. As Guskin (1996) points out, managers, university leaders and administrators are constantly forced to face the future by being proactive in creating the necessary changes to improve their institution in the most effective and least painful ways. By implementing the appropriate changes university leaders can enable their institutions to become more flexible and innovative. "Change, by definition, requires creating a new system, which in turn always demands leadership" (Kotter, 1995, p. 60).

The presence of leadership is of primary importance as it is the leader who will notice the need for major change to take place. It is also the leader who will have to lead such a change towards success. A successfully implemented change requires a thorough understanding of the use of power as a tool in the survival of an organisation. Some of the interviewees stressed the power and importance of faculty members in making any change successful. Thus, they have to be engaged in the appraisal process and not just be the subject of the evaluation. Martorana and Kuhns (1975) suggested that by encouraging subordinates to be fully participative, leadership will provide an environment where employees feel they are working for themselves; thus, committed to the change process itself. Power-coercive strategies versus participant involvement "assume power to be located in the hands of a few 'management' who achieve change by manipulating organisational conditions such as rewards, sanctions, sources of information and relationships among the participants" (Martorana and Kuhns, 1975, p. 165). Guskin (1996) as well addresses this point by arguing that change in any university requires "a partnership and a shared purpose between faculty and administrators in which universities are more responsive to students and societal needs whilst maintaining the commitment to academic freedom and unencumbered pursuit of knowledge" (Guskin, 1996, p. 28). This combination of a compassionate approach with a defined path should create a productive atmosphere.

This section suggests, as indicated by the participants in this study, that higher educational institutions should encourage flexibility and change by applying 360 degree appraisal, which appears to achieve a sense of departmental commitment to the process of change. The findings indicated that the faculty members want to be involved in the appraisal process- 360 degree appraisal- whereby people from all levels of the institution come together to suggest their opinion, individuals from all levels would be heard.

Although all participants supported the 360 degree appraisal, they were aware of the cost of implementing this system. 20 out of the 40 interviewed faculty members agreed that implementing the 360 degree feedback is a costly and time consuming process in terms of the wide range of data collected and analyzed. This concurs with the findings of Haslam et al. (1993a) that "the majority of staff believed that appraisal had been both time consuming and costly for the university as a whole and generated immense amounts of paper work" (p. 219). Smith (1995) also argued that although appraisal of performance is intended to generate benefits, many of these benefits are of a long-term nature. One of the disadvantages of this system as agreed upon by many authors as Longnecker (1989), Gomez-Mejia et al. (1995), and Kermally (1997) is that the process is time consuming in terms of collecting and analyzing a wide range of data. Besides, there must be trained appraisers to analyze the retrieved data. Another inconvenience with this system is that careful evaluation is needed for making the decision of changing the manager with whom employees are not satisfied (Gomez-Mejia et al., 1995; Kermally, 1997).

However as argued by Grote (1996) there are ways to tackle the costs of this system. Electronic 360 degree assessment instruments will probably replace paper-based systems before too long. Computer-developed assessment processes allow far more appraisers to be collected and analyzed than is feasible manually. They also allow for a large amount of variables to be included in the collected data to distinguish people who have known the appraisee for a long time compared to people who are of a more recent acquaintance (Grote, 1996 p. 290), or separate the male's opinion from the female's. This can then be taken into account during analysis using for example an SPSS package.

Mentoring

Results of the semi-structured interview showed that faculty members emphasized the importance of mentoring in higher educational institutions. Mentoring offers support by providing individuals with someone who can give feedback, guide, and support aimed at professional growth and development. Mature mentors have always been around to help new teachers learn their craft in ways that were usually not covered in teacher training programs (Grehrke and Kay, 1984). As a means to support professional growth and development, mentoring also empowers faculty members as individuals, and thus ultimately benefits the educational institution (Luna and Cullen, 1995; Bush and Middlewood, 1997). Besides, according to Feiman-Nemser and Parker (1992), mentors may also guide the professional development of new faculty members by promoting reflection and fostering the norms of collaboration and shared inquiry.

All the participants supported the view that formal mentoring programs should be included in the job description of full time faculty members. Moreover, they believed that mentoring relationships would help faculty members' work effectively with others. Such appreciation among faculty members for the value of mentoring schemes was also perceived in previous studies conducted in the UK and in the USA based on the literature by O'Neill (1994a). Although some differences existed between the traditional practices of educational management in the USA and the UK, there was still a common appreciation of the value of mentoring schemes that may be available for individuals in the earliest stages of their careers. It was strongly encouraged that mentoring programs be promoted as a way for bringing experienced head-teachers together with less experienced colleagues (O'Neill, 1994a).

The mentor/protégé relationship was of concern to the researcher and the participants who emphasized the importance of such relationship in providing a climate of equal opportunities for all faculty members to collaborate effectively and learn from each other's studies and researches. This concurs with Coleman (1997), who suggests that the success of mentoring depends on the strength of the interpersonal relationships and the

informality of the process. Functioning as experts, mentors provide authentic, experiential learning opportunities as well as an intense interpersonal relationship through which social learning takes place (Kerka, 1998). One of the participants' views was that the relationship between the mentor and the mentees should be based on trust and confidentiality or else it would fail, especially if unsuitable mentors were appointed. Mentoring, formal or informal, can be very powerful in encouraging a climate of equal opportunities and in the professional development of the mentees. According to Kerka (1997), mentoring supports much of what is currently known about how individuals learn, including the socially constructed nature of learning and the importance of experiential, situated learning experiences.

To avoid the failure of mentoring programs due to unqualified mentors, the participants emphasized some of the characteristics of effective mentors. This concurred with the literature of Daresh and Playko (1990; 1992a) who have found some of the most important characteristics for effective mentors. The literature on mentoring has widely discussed the qualifications of mentors (Chapter Two). Shea (1992) for example provides some suggestions about the skills of mentors that are helpful to the mentoring process. He pinpoints that mentors should have the capability of envisioning the future, listening carefully and giving suitable feedback. It is also necessary to assign mentors who are well qualified in informing and communicating with their trainee. In England and Wales, the mentor qualities that were valued most by new head teachers were the ability to listen in addition to the personal qualities of openness and approachability (Bolam et al., 1995).

To make mentoring programs more successful, it was suggested by the interviewees that training be provided for mentors. This concurs with the argument of Montgomery (1991) that even when individuals want to serve as mentors and possess all the desirable characteristics of effective mentors, they still need additional training to carry out this crucial role. One area identified as important in training is the area of interpersonal skills, which appears to be the quality that counts most in mentoring (Brooks, 1996). Sampson and Yeomans (1994) in the same token argue that although some mentors may be

naturally equipped with the skills of mentoring, such stock of natural talent cannot be relied on to achieve effective mentoring. Therefore, there is a need for training, which can build skills, knowledge, and qualities which are additional to those needed for effective educators and which may enhance educator effectiveness.

The researcher also raised the issue of gender and mentoring during the interviews for according to Kerka (1998), as organisational diversity increases, the question arises whether mentoring becomes a vehicle for assimilation or exclusion. The personal relationship at the heart of mentoring can be problematic when mentor and mentee are of different genders. Ensher and Murphy (1997) found that perceived and actual similarity affected the amount of instrumental and psychological support mentors provided as well as the protégé satisfaction. Coates (1986) commented that women tend to organize their talk co-operatively, whilst men tend to organize their talk competitively. Tannen (1990) found that men and women both interrupt but they do it in different ways. Men interrupt most often in an attempt to steer the conversation toward their own point, whilst women will interrupt with nods and noises of affirmation most often in an attempt to support and give encouragement to the speaker. Therefore, as suggested by Birge, et al (1995), when cross-gender relationships are anticipated, gender specific styles of communication should be introduced in orientation and training programs so that the mentor and the mentee have a high degree of potential to fully benefit from the relationship.

Disadvantages of Mentoring

Results of the interviews showed that faculty members were aware of certain problems that would arise from mentoring programs in educational institutions. This reverberates the concern of Daresh and Playko (1992b) about protégés independence; "mentoring can be potentially harmful to growth if and when protégés develop too great a reliance on mentors, who are expected to provide all possible questions" (p. 112). One of the comments by faculty members was that sometimes mentors tend to be reluctant in letting the trainees become independent, a situation that may be detrimental for the new faculty and the institution as a whole. Daresh and Playko (1992a) have referred to this problem, in their discussions about the characteristics of effective mentors, and emphasized that

mentors should try to express the desire to see people go beyond their present levels of performance, even if it might mean that they are able to perform better than mentors themselves.

The above findings suggest that faculty members at the time of this study were neither able to realize their areas of deficiency nor able to improve and enhance their performance. This is due to the lack of a formal appraisal system that provides clear and frequent feedback and mentoring support for staff development. With no frequent and effective feedback, the appraisal process lacks its vital function and purpose, which is, the development of people in the organisation. Such development leads to improving job performance and acquiring new skills and knowledge by the individuals. This qualifies them for broader responsibilities, more rewarding job enrichment and promotion.

Performance Appraisal Model

The literature review in this study concluded with a model of performance appraisal (Chapter Two, Figure 2-3). The implementation of this, it is argued, will provide faculty members with a better understanding of their performance. The faculty members feedback on the suggested model was taken into consideration by the researcher leading to the introduction of the mentoring model.

The following chapter presents the conclusion to this study along with the limitations of the study, recommendations for implementing a systematic appraisal scheme at the University, and recommendations for further research.

Chapter Eight

Conclusion

This research examined the existence of an appraisal scheme at LAU. Furthermore, the researcher explored the faculty members' views regarding the current system and examined the possible suggestions and recommendations proposed by the faculty towards the introduction of a more regular and systematic appraisal. The study included a literature review of appraisal systems, discussing its advantages and disadvantages, with main emphasis placed on 360 degree appraisal. Moreover, the literature focused on performance management and discussed the processes of mentoring, professional development, and supporting professional learning through a collaborative process.

The key research questions were explored through interviews and questionnaires.

- Question One: How does the appraisal system work in LAU and how does it affect faculty members' promotion and motivation?
- Question Two: What is the role of the departments' heads in appraisal and what is their relationship with the present faculty members?
- Question Three: In what ways did faculty members' think the existing appraisal system could be improved?
- Question Four: How might professional development be used as a tool for empowerment, growth and promotion?
- Question Five: How might faculty members' involvement in decision making and mentoring help promote their professional development?

Key Question One: How does the appraisal system work in LAU and how does it affect faculty members' promotion and motivation?

The study showed that faculty members at the School of Arts and Sciences and the School of Business, who participated in this research, viewed performance appraisal as a major tool to assess, evaluate, and recognize achievement, as well as to address weakness and improve performance. The findings indicated that the current appraisal practices at LAU vary across its schools. The faculty members of the Business School are evaluated only by the supervisor. However, in the Arts and Sciences School, two different evaluation methods are applied. The supervisors appraisal is applied to all faculty members, while the student appraisal method is applied to only the new part time faculty members, the results are then evaluated by a committee that reviews the questionnaire every year. However, both faculty respondents are not satisfied with the appraisal systems adopted by their schools because they believe that supervisors and students should not be the only parties involved in the evaluation process. It was also found that in both schools rewards are not given immediately after the appraisal. This was considered to be demotivating to faculty members, thus negatively affecting their performance in general.

Key Question Two: What is the role of the departments' heads in appraisal and what is their relationship with the present faculty members?

The department heads are solely responsible for the evaluation of faculty members. However, the department heads do not communicate the results of the evaluation to the present faculty. The lack of communication results in faculty dissatisfaction. Moreover, department heads at LAU do not have clear and frequent discussions with the appraisee. At LAU, there are no mutually discussed and agreed upon standards of appraisal.

Key Question Three: In what ways did faculty members' think the existing appraisal system could be improved?

Respondents were, in general, of the opinion that further procedures, for the appraisal of individuals, are necessary. They noted the value of involving the individual faculty member in the process, developing a two-way communication system and providing continuous feedback thus creating a mutual learning between supervisors and faculty members, and among faculty members, in order to improve performance. Negotiation between appraisee and appraiser is deemed important since it is aimed at better understanding and generating ideas of how practice might be improved. This interview must include the aspects that are relevant to the work of the individual. Follow-ups should also take place, in order to reconsider past and future events. All the participants suggested, that annual face-to-face interviews should be conducted with adequate follow-ups. The major issues of concern include the importance of setting clear goals and communicating them to the appraisees in order to ensure the appraisers' commitment to the scheme. There was a general agreement among faculty members that the University should develop a new systematic appraisal scheme - conducted annually - with feedback being provided on a continuous basis throughout the academic year as well as annual interviews for discussing their performance during the previous year and their inclinations for the future.

It became apparent in the course of discussion that there was a general dissatisfaction. Despite the different views about performance appraisal in this research, there were several issues that concerned the faculty members. The issues include:

- The importance of setting clear goals and communicating them to the appraisees.
- The importance of the appraisers commitment to the scheme.
- The importance of the appraisal interview since it gives an opportunity to discuss problems with the Deans of Schools.
- The provision of adequate follow-up to the appraisal interview.

Key Question Four: How might professional development be used as a tool for empowerment, growth and promotion?

Most of the interviewees agreed that appraisal should play a role in setting promotion and merit pay rewards, for they are believed to motivate performance. Professional development was viewed to be essential as it involves growth and empowerment of the individual member, and for the appraisal process to be implemented it has to be highly directed towards the development of the faculty. But there was an overall consent that professional development might need full allocation of time, whilst faculty members are either full-timers teaching a minimum of 12 credits per semester, or part-timers working outside the university. There was also awareness of the importance of collaboration in achieving professional development, although most of the participants agreed that collaboration would be time-consuming.

Key Question Five: How might faculty members' involvement in decision making and mentoring help promote their professional development?

This study elucidated the importance of mentoring, as perceived by faculty members, although the University has no formal mentoring programs. It was suggested that mentoring should be included in the job description of the faculty members because mentoring is perceived as essential for professional development and growth. The participants also emphasized on having effective mentors whom would be continuously trained, if the mentoring programs were to be more successfully implemented to serve their developmental purpose. The issue of gender in mentoring was investigated as well to see whether the relationship between mentors and mentees could be problematic when both parties are of different gender. Distinct views were held in this regard. Besides, it was found that the faculty members were aware of certain disadvantages of mentoring such as being quite demanding in terms of the emotional support that mentors have to provide for the mentees who may tend to be dependent by expecting much from their mentors. In this case mentoring may not succeed as expected.

With respect to faculty members' involvement in decision making, most participants suggested the involvement of students, colleagues, subordinates, Deans and Chairpersons, that is to say, they suggested the 360 degree appraisal as the new appraisal scheme. They held that this system would provide the opportunity for those closest to the appraisee to evaluate his or her performance. Besides, feedback is collected from all who have frequent contact with the faculty member, thus improving the quality and objectivity of the information and minimizing biases. Although most participants suggested this appraisal scheme, they agreed that implementing the system would be costly and time consuming in terms of the wide range of data collected and analyzed. Besides appraisers involved in the system should be well trained to assure that they are well qualified to provide the most effective evaluation aimed at professional development.

The Importance of the Study Findings

This study has shown the need for performance appraisal as one of the major and critical subjects in Human Resource Development in higher educational institutions. Its implementation needs a lot of care and attention in order to serve its growth and developmental purpose. No studies appear to have been carried out which attempt to evaluate the effectiveness of such schemes at LAU or at any other higher educational institutions in Lebanon. Yet, appraisal is part of mainstream management and the idea of appraisal within the university was supported by this study.

The need for this study stems from the lack of a formal and systematic appraisal scheme followed at LAU since feedback, face-to-face interviews, and mentoring, are not available to faculty members and neither professional development nor organisational development are achieved under the current appraisal scheme. In light of this the researcher was interested in conducting such a study.

This thesis has identified the benefits resulting from the implementation of a formal and systematic appraisal scheme. The benefits will affect the individual faculty members and the university.

The benefits accruing to the individual are the result of:

- Better assessment of the strengths and weaknesses of ones performance.
- Better communication.
- Benefiting from mentoring within the process.
- A consistent approach in managing the individual.
- Feeling of commitment or greater sense of belonging to the institution.

The benefits accruing to the University the benefits are:

- Motivated staff.
- Better understanding of the faculty members' abilities and potentials and how to fortify such potentials.
- Better planning for improvements in performance.
- A better learning organisation within a collaborative atmosphere.

(University of Wessex, 1998)

Limitations

It is important to acknowledge the limitations of this study. This research is a single case study and did not cover all universities in Lebanon, for reasons stated earlier; therefore generalization is not possible from this study. Nonetheless, according to Bassey (1998a), fuzzy generalization may be possible. These assume that if the readers of a study carried out in one location find resonance with the findings of their own location, then they could, with considerable care, draw lessons from the study and apply them to their own situations. It is with the hesitancy that the researcher has offered the observations from the findings of this study.

Another limitation was the relatively low response rate (36.86%) as only 80 out of the 217 faculty members participated in the study. The non-response error may cause the sample to be less than fully representative and so the findings cannot be drawn to the

whole population of higher educational institutions. However, as previously discussed, the conclusions of this study might be transferred to other similar cases (Chapter Three). This could be done after the researcher had examined the degree to which the findings fit or how far can they be generalized from the case studied to other situations.

Recommendations

It is suggested that the University adopt a formal performance appraisal form or process through which supervisors accommodate for faculty members to get the feedback that they need and when they need it. If feedback is provided only during an annual performance review, it is probably not timely enough to be effective. Therefore, as previously pointed out, feedback should be given on a continuous basis where both supervisors and faculty members communicate and discuss the results of their appraisal and discuss ways to improve their performance in the most efficient way. Faculty members should also have opportunities to compare their performance with their colleagues and learn from each other's experiences.

Attempts to implement any organizational change could be faced by supervisors' resistance, which is usually attributed to the following causes: a normal dislike of criticizing a subordinate, the lack of skill needed to handle the interviews. However, as pointed out by McGregor (1990), resistance could be due to a dislike of new procedures, and its accompanying changes or the mistrust of the validity of the appraisal instrument, therefore programs have been designed to help convince appraisers of these systems.

The researcher recommends the implementation of the suggested Performance Appraisal Model at LAU (Chapter Two, Figure 2-3). The following recommendation is based on the fact that the researcher displayed the Performance Appraisal Model to the 80 faculty members that participated in the study. The participants suggested the implementation of the model at LAU, since it included the elements that were lacking in the appraisal they experienced. The participants were enthusiastic regarding the presence of feedback, face-to-face communication, and mentoring, moreover, they

supported that the implementation of the model might lead to achieving professional development and thus the development of LAU to become a leading university in the region.

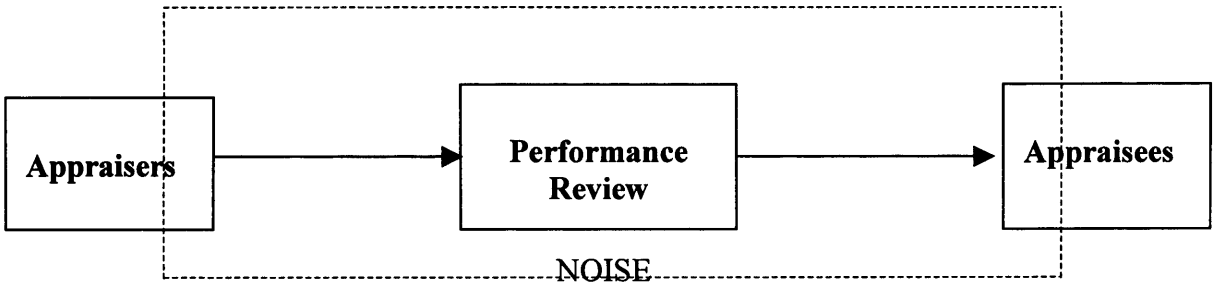
The success of implementing the new appraisal scheme supported by the suggested model could be affected by the supervisors' endorsement of this change. Administratively the Deans of the Schools need to support the planning and the implementation of the system. The planning process should include faculty members as a major group of end-users. For effectively implementing the model, it is also advised that firstly, for supervisors, and any of the faculty members, to be involved in the evaluation process, they should attend meetings and seminars about performance appraisal. This would allow them to become more aware of the importance of measuring faculty members' performance and of its effect as a motivating tool. Consequently, this will result in a more accurate, fair, and objective evaluation and will reflect positively on individual performance. Secondly, when performance is measured, using 360 degree appraisal, it is better to be related to measurable criteria. This will enhance common understanding between the Dean, Chairpersons and faculty members. 360 degree appraisal, if well implemented, would minimize bias. Thirdly, after identifying appraisees' weaknesses, appraisers have to try their utmost potential to develop, and train them in order to ensure that every lecturer's skills, knowledge, and interest are developed and used as fully as possible. This can be done by means of collaboration between the supervisors and the faculty members and among faculty members as well, such as attending conferences, doing researches and publications collaboratively. In effect, faculty members will feel more committed and would try to prove their abilities. Eventually, this will contribute greatly to their performance. Fourthly, performance appraisal proves to be influenced by the leadership style, whereby the Deans and Chairpersons are the ones who give credit to good work and rewards to faculty members. It is also suggested that rewards be given immediately after appraisal so as to reinforce behavior and stimulate individual motivation.

Following these recommendations may pave the way to believing more in the effectiveness of appraisal as a motivating tool based on the leader's skill in carrying out an effective performance appraisal scheme. In addition to achieving more satisfaction, it allows individual faculty members to enjoy doing their jobs collaboratively.

Recommendation for Further Research

Figure 8-1

A Model of Performance Appraisal at LAU



In comparison with the proposed model in Chapter two, the performance appraisal model, currently experienced by appraisees at LAU, lacks face-to-face interviews, mentoring, and the feedback loop. Moreover, the current appraisal model does not result in professional development, organizational development, or staff development. Nevertheless, both models pass through a performance review stage and thus include a transfer of information from the appraiser to the appraisee. Finally, both models include noise, which is related to personality and perceptual or attitudinal individual differences.

Although, there exists an evidence base for implementing the Performance Appraisal model at LAU, further research is still needed on mentoring, and on the application of the proposed model on higher educational institutions. The following is due to the fact that the study conducted by the researcher at LAU was on a small scale and thus a larger scale study is still needed from other universities in order to generalize beyond LAU. As aforementioned, there exists a need to study the proposed model back in chapter two and evaluate its possible implications on higher educational institutions. Moreover, the researcher recommends conducting a pilot study on mentoring followed by an evaluation of its impact on the current appraisal process at higher educational institutions. The following pilot study might also consider evaluating the impact of the current appraisal processes on professional development, orgaisational development and staff development.

In relation to future research on performance appraisal, it would be constructive to explore in more detail the appraisal schemes at the different universities in Lebanon and the readiness of these universities to adopt the 360 degree appraisal scheme. The results from the relatively large sample could enable the researcher to generalize from the case studies. Moreover, the relationship between the success of higher educational institutions and the performance appraisal process might be further clarified. The researcher suggests for further research studying the transferability of the study conclusions to other contexts. This requires careful examination and interpretation of some queries and criteria suggested by Miles and Huberman (1994, p. 279) before generalizing the findings from the sample to the population, or transferring them to other case studies of similar phenomena.

Further research is also recommended to study if the previously mentioned recommendations, about the performance appraisal scheme at higher educational institutions, when followed result in an effective appraisal. Further research is suggested as well to study the success of implementing the 360 degree appraisal at LAU whereby the supervisors and faculty members are ready to be involved in the process given the changes that have to be made for implementing such scheme.

The independent variables in the regression analysis, motivation and department, need to be further studied in relation to the dependent variable, control, in order to verify the findings of this study. More research is also needed to identify correlations between control and the different factors associated with it, such as feedback, support, reward, procedures, needs, environment, money, promotion, training title and years of teaching and other demographic factors such as gender and marital status.

Conclusion

From this study I have learned a lot about conducting research in higher education. But one always feels that there is still more to investigate in order to have a clearer and more complete picture about the field of investigation. Sometimes the more research one conducts, the more one feels in need to know, and the more one can initiate new areas for further inquiry. Although the findings of this single research could be incomplete, it could and would lead to improvement and change of the current appraisal scheme at LAU.

However, if I were to repeat this study, I would probably tackle the research part somewhat differently. For example, I would not pursue or rely heavily on the quantitative research part as I found it difficult and tricky to do so. This in part was due to the fact that most Lebanese people, in general, do not report back in writing or filling out questionnaires. Although one might suggest that a sample of 80 is rather satisfactory for this case study, it took me around two years to get this feedback after frequent follow-ups. As for the qualitative part of this study, I would probably go more in depth into interviewing and discussing most of or all of the issues under investigation with a wider sample of interviewees. On the other hand, if I were to reflect for a while on this study, I might question some of the results and findings further. Though I tried in this study to investigate the same issue from various angles, I still need to investigate the honesty of the interviewees and whether their responses were complete and non-biased.

Personally I would like to shed light on two events which reflect the contribution of my research on the higher educational community in Lebanon. In July 2001, the Dean of the Communication Faculty at the Lebanese University requested my official consultation regarding the implementation of 360 degree appraisal at the University. This was in part triggered by the Lebanese Government's recent recognition of the impact appraisal has on higher education. At LAU, during a faculty meeting at the Business School (November 2001), I was approached by the Dean to assist in reviving the student evaluation of faculty members. The revival of the student evaluation was required by the Vice President of Academic Affairs as a mandatory appraisal at LAU. As stipulated starting January 2002 the appraisal system at LAU will comprise of the immediate supervisor appraisal and the student evaluation.

SPECIAL NOTE

This item is tightly bound and while every effort has been made to reproduce the centres force would result in damage.

The Advantages and Disadvantages of Various Appraisal Methods

	Advantages	Disadvantages
Upward Appraisal	- Staff feel empowered (1) - Evaluation by subordinates will make supervisors more conscientious in carrying out their responsibilities (6) - Employees tend to see performance related behavior not seen by the managers boss (6) - It requires supervisors to interact with subordinates in such a way so as to reinforce the organisation's team work value (7-8)	- Supervisor may become more concerned with the issue of popularity instead of the effective performance of the work unit (9) - Fear of reprisals (4) - Subordinates believe that they are not in the best position to evaluate their supervisor (10) - Managers may base their hiring decisions on their idea of who would rate them favorably (6)
Critical Incident Technique	- Excellent for employee development and feedback (3) - The incidents list may be used to indicate to employees desirable and undesirable behavior (4)	- Jotting down incidents on a daily or weekly basis could become like a chore to the supervisor (5) - It delays feedback to employees (feedback should be prompt) (5) - Not participating in standard setting makes the subordinate less motivated to follow them (5)
Peer Group Appraisal	- Are the most reliable sources of appraisal data because peers are closest to the action (4) - Independent judgments make the evaluations more reliable (4) - Daily interaction with peers provides them with a comprehensive view of employee job performance (4)	- Peers may be biased due to friendship or animosity (4) - Peers may lack sufficient understanding of their peers job and thus be unable to provide a fair and accurate appraisal (6)
Self Appraisal	- It allows employees to add their own input to the appraisal process (11) - It helps employees gain insight into the causes of performance problems (11) - It facilitates employee development (6) - Because employees come up with the results, they are more likely to accept the findings easily (6) -It clarifies differences between the subordinates and supervisors opinions concerning job demands and performance (6)	- Employees tend to present a positive image of themselves whenever possible (4)
360-degree Evaluation	- It gives mangers a much wider range of performance related feedback than traditional evaluation (12)	- Managers may hear personal comments on sensitive topics and this may be threatening (12)
Immediate Supervisor	- In some cases, the supervisor is in the best position to evaluate employees performance (10-4)	- The supervisor is not always in the best position to observe performance (10-4) - Bosses often feel incapable of evaluating the unique contributions of each of their employees (4-13) - Managers often do not want to play "God" (4-13)
Management by Objectives	- Provides clear and unambiguous criteria by which worker performance can be judged (11) - Eliminates subjectivity and the potential for bias and error that go with it (11) - Promotion of the appraiser as someone who facilitates performance rather than someone who critics it (14) - Increased employee motivation due to their participation in goal setting (14)	- Outcomes measures though objective, may give a distorted and deficient view of worker performance levels (11) - It can be incompatible with some managerial styles (14) - Its installation is time consuming (14) - It does not lend itself to all types of jobs (14) - Employees may be unwilling to participate in it (2)

Information in the above table was collected from following sources:

1- Kempton, 1995
2- Oberg, 1990
3- Schermerhorn, Hunt, Osborn, 1998
4- Robbins, 1998
5- Oberg, 1991
6- Gibson, Evancevich and Donnelly, 1994
7- Auteri, 1994
8- Bernardin and Beatty, 1984
9- Caruth, Noe and Mondy, 1988
10- Vecchio, 1995
11- Balkin and Cardy, 1995
12- Moorhead and Griffin, 1998
13- Latham and Wexley, 1981
14- Caruth, 1986

Kempton, 1995 based on research findings
Oberg, 1990 based on literature review and the researcher's opinion
Schermerhorn, Hunt, Osborn, 1998 based on the researchers opinions
Robbins, 1998 based on research findings and literature review
Oberg, 1991 literature review and the researcher's opinion
Gibson, Evancevich and Donnelly, 1994
Auteri, 1994 based on the researchers opinions
Bernardin and Beatty, 1984 based on the researchers opinions
Caruth, Noe and Mondy, 1988 based on literature review and the researchers opinions
Vecchio, 1995 based on the researchers opinions
Balkin and Cardy, 1995 based on literature review and the researchers opinions
Moorhead and Griffin, 1998 based on literature review
Latham and Wexley, 1981 based on literature review and the researchers opinions
Caruth, 1986 based on literature review and the researchers opinions

SPECIAL NOTE

This item is tightly bound and while every effort has been made to reproduce the centres force would result in damage.

The Advantages and Disadvantages of Appraisal

Advantages	Disadvantages
- It increases motivation (1) - Gives the supervisor and subordinates a chance to discuss some work issues (2) - It gives an opportunity to concentrate on work activities and goals (2) -It identifies and corrects any significant problem (2) -It encourages better future performance (2) - It allows the recognition of employee work efforts (2) - It allows managers and their subordinates to recognize individual training and development needs (2) - It provides a way to check the efficiency of the organisation's recruitment and induction practice (2) - It includes benefits to the organization (4) - It includes benefits to the employees (4) - It includes benefits to the managers (4)	- Criticizing subordinates is something that managers dislike (3) - Managers do not handle training interviews properly as they often have inadequate training (3) - New procedures or methods are often disliked by managers (3) - The validity of appraisal is doubled by some managers (3)

Information in this table was collected from following sources:

-1- Montgomery and Hadfield, 1989
-2- Kempton, 1995
-3- McGregor, 1957
-4 Wessex University, 1998

Montgomery and Hadfield, 1989 based on literature review
Kempton, 1995 based on research findings
McGregor, 1957 based on research findings and researchers opinion
Wessex University, 1998 based on research findings

Appendix C
Interview Schedule

Thank you for agreeing to participate in this interview. I assure you that the details of this interview will remain confidential and will not be passed on to a third party.

1. Is there any performance evaluation system adopted at the University / Department / School?

   _____
   _____

2. Which appraisal method is adopted by the university in appraising academic staff?

   _____

3. How often is the appraisal conducted, is it annually, semiannually, etc.?

   _____

4. Based on your experience at the university, in your opinion, do you believe that appraisal is an important issue in higher education? Is it an essential activity for professional development, motivation, promotion, etc.?

   _____
   _____

5. Do you think that the appraisal method applied served its purpose in stimulating employee motivation?

   _____
   _____

6. How are the appraisal results communicated?

a. _____ Face-to-face interview,
b. _____ Discussions about job duties and responsibilities,
c. _____ Follow ups

7. In your opinion what is the importance of feedback in the appraisal process and how does it help in improving performance?

   _____
   _____

8. Do you think that appraisal should play a part in promotion?

   _____
   _____

9. Do you lecture at a different university(ies)? If yes, would you please make a comparison between the evaluation processes followed at those universities.

_____

_____

10. After questioning about the importance of appraisal and the system applied at the university, I would like to know your suggestions if any for ways to improve or change.

_____

_____

11. In your opinion who should carry out the appraisal process?
    a. _____ The individual academic concern
    b. _____ A senior member
    c. _____ Head of Department
    d. _____ A departmental committee

12. From our brief discussion about the various appraisal techniques especially the 360 degree appraisal do you think that this appraisal technique would be time consuming and costly.

_____

_____

The last two questions of the interview are aimed at assessing your views on professional development – as a tool for empowerment, growth, its importance for promotion, and whether it could be assessed through collaboration – and mentoring – its importance in higher educational institutions, advantages and disadvantages as well.

13. As regards professional development, do you think it is an essential tool for empowerment of faculty members, growth, promotion, and to what extent collaboration in necessary for professional development?

_____

_____

14. In your opinion, what is the importance of mentoring in higher educational institutions, its advantage and/or disadvantages?

_____

_____

Thank you very much for taking part in this interview and giving up your time.

Dear colleagues,

Being enrolled in Ed.D. program at Leicester University, England, I am interested to investigate about how Universities and Colleges measure performance of academic staff and how incentive compensation systems are developed and used.

I am sending you a questionnaire concerning performance appraisal at Higher Education. A tick can answer most of the items and to my estimation it will not take more than half an hour to complete. The result of this confidential survey will form an important part of evidence in my thesis in Ed.D. program. You will support my survey by returning the completed questionnaire in the freepost envelope at your earliest convenience.

Thanks for your cooperation.

Sincerely yours,

Silva Karkoulian
Instructor of Accounting
Business School
Lebanese American University

Appendix D

Questionnaire (after piloting)

Performance Appraisal

I would be most grateful if you would please answer the questions below. The information you provide will be treated with the strictest confidentiality and all the participants will be offered the opportunity to remain anonymous.

Please answer the questions below:

Gender: ☐ Male ☐ Female

Marital status: ☐ Single ☐ Married ☐ Divorced ☐ Widowed

Job Title: _____

Department you work in: _____

Years of experience in present job: _____

1. Is there any performance evaluation system adopted at your university?
   ☐ Yes ☐ No
   If yes, please proceed to question 2.

2. The process of performance appraisal in the university takes place
   Annually ☐
   Semi-annually ☐
   Within intervals of less than a year ☐
   Other, please specify _____

3. The performance appraisal is conducted by:
   The immediate superior ☐
   Peers (a group at the same level) ☐
   Subordinates ☐
   Yourself (Self-evaluation) ☐
   Other, please specify _____

4. Method used by your university in appraising academic staff.

- ❑ The evaluator writes a report on your performance. (Overall assessment)
- ❑ The appraiser evaluates you based on key incidents (i.e. Outstandingly good or bad) in the period. (Critical incident technique)
- ❑ The evaluator appraises your performance based on how well you have accomplished mutual set objectives. (MBO)
- ❑ You evaluate each other in a small group and the members of the group are at the same level in the institution. (Peer group appraisal)
- ❑ The subordinate evaluates the supervisor. (Upward appraisal)
- ❑ You appraise your own performance. (Self-appraisal)
- ❑ The appraiser evaluates you based on feedback from the full circle of contacts that you have in performing your job. (360-degree evaluation)
- ❑ The appraiser is your direct supervisor. (The immediate supervisor)

Please specify the actual method practiced if none of the above apply:

_____

5. You are kindly requested to circle the answer that best describes the situation in your institution.

1=SD=Strongly Disagree
2=D=Disagree
3=U=Uncertain
4=A=Agree
5=SA=Strongly Agree

	SD	D	U	A	SA
a. Performance Appraisal tries to enhance performance by identifying improving or developing areas in which employees have a deficiency	1	2	3	4	5
b. Performance Appraisal identifies those who have potential for promotion to positions of greater responsibility and vice versa	1	2	3	4	5
c. Performance Appraisal identifies those who have potential for training.	1	2	3	4	5
d. Performance Appraisal determines the need for disciplinary action	1	2	3	4	5
e. Performance Appraisal stimulates subordinate motivation	1	2	3	4	5
f. Performance Appraisal serves as a tool for control	1	2	3	4	5

g. Performance Appraisal serves as a basis for determining salaries	1	2	3	4	5
h. Performance Appraisal serves as a basis for deciding on promotions	1	2	3	4	5
i. Performance Appraisal provides opportunities for growth and advancement	1	2	3	4	5
j. Performance Appraisal uses job description as measurable criteria	1	2	3	4	5
k. Performance Appraisal uses job specification as a measurable criterion	1	2	3	4	5
l. Performance Appraisal enhances mutual understanding between the supervisor and the subordinate	1	2	3	4	5
m. Performance Appraisal provides feedback to employees as to how well they are doing their job	1	2	3	4	5
n. Performance Appraisal results are communicated by the supervisor	1	2	3	4	5
o. The supervisor conducts face-to-face interview with the appraisee	1	2	3	4	5
p. Feedback is received periodically by the appraisee	1	2	3	4	5
q. The supervisor comments verbally on performance, filling out forms later	1	2	3	4	5

6- Please circle the answer most related to conditions at your institution.

1=SD=Strongly Disagree
2=D=Disagree
3=U=Uncertain
4=A=Agree
5=SA=Strongly Agree

	SD	D	U	A	SA
a. Rewards motivate performance	1	2	3	4	5
b. Rewards are given immediately after completing appraisal	1	2	3	4	5
c. Desire to accomplish is a motivator	1	2	3	4	5
d. Interest in work is a motivator	1	2	3	4	5
e. Success in performing a job is a motivator	1	2	3	4	5
f. Money is a measure of accomplishment	1	2	3	4	5
g. Rewards are attributed to ability	1	2	3	4	5
h. Rewards are attributed to skill	1	2	3	4	5
i. The needs of academic staff are considered before rewards are given	1	2	3	4	5
j. The type of job is considered before rewards are given	1	2	3	4	5
k. The organizational environment is considered before rewards are given	1	2	3	4	5
l. Managers are friendly with the staff	1	2	3	4	5
m. Managers allow employees to write their comments on appraisal forms	1	2	3	4	5
n. Managers encourage better employee education.	1	2	3	4	5

o. Managers threaten employees with job loss	1	2	3	4	5
p. Managers offer employees moral support	1	2	3	4	5

7- Please tick which of the following methods of performance appraisal you experienced During 1998/9 academic year?

	Yes	No
- Detailed criticism or advice on course content or teaching materials from a colleague	___	___
- Information from a student questionnaire on your course or teaching	___	___
- Observation of your teaching by a colleague followed by detailed criticism or advice	___	___
- An interview with the head of department or dean on some or all aspects of your academic performance	___	___

8- Please circle the number which reflects your opinion of the following statements

1=SD=Strongly Disagree
2=D=Disagree
3=U=Uncertain
4=A=Agree
5=SA=Strongly Agree

	SD	**D**	**U**	**A**	**SA**
a. Further systematic procedures for the appraisal of individuals for their professional development are necessary	1	2	3	4	5
b. Heads of departments should take an active part in helping and supporting staff in the department to develop their teaching abilities/methods (e.g. discussing course materials or attending classes)	1	2	3	4	5
c. Heads of departments should take an active part in helping and supporting staff in the department to carry out their research (e.g. advising in research proposal)	1	2	3	4	5
d. All academic staff should have an annual interview at which their performance over the last year and their aspirations for the future could be discussed	1	2	3	4	5
e. Further systematic procedures for the appraisal of departments for their professional development are necessary (i.e. departmental appraisal)	1	2	3	4	5
f. The University should provide training for heads of departments					

9- Please tick who should be involved in appraising individual performance?

	Yes	No
a. The individual academic concern	----	----
b. A senior member (not the head of department)	----	----
c. The head of department	----	----
d. A departmental committee	----	----
e. Other specify_____		

10. Which method of appraisal do you believe to be most appropriate for your institution?

-
-
-
-

11. What in your belief are the criteria most appropriate for use in your own appraisal?

-
-
-

12. If you wish to add any comments related to the contents and/or intent of this questionnaire, please use the space below.

Thank you for completing the questionnaire. Now please place this form in the freepost envelope provided to you and return it to the address indicated on the envelope.

Appendix E
Factor Analysis

SPECIAL NOTE

This item is tightly bound and while every effort has been made to reproduce the centres force would result in damage.

Communalities

	Initial	Extraction
Performance Eval Systems	1.000	.676
Perf. Appraisal Time	1.000	.697
Perf Appraisal Conducted	1.000	.865
Method of Appraisal	1.000	.792
Enhance performance	1.000	.746
Promotion high position	1.000	.841
training	1.000	.834
Disciplinary Action	1.000	.660
Motivation	1.000	.890
control	1.000	.846
Salaries	1.000	.859
Promotion decision	1.000	.786
Growth	1.000	.883
Job Description	1.000	.929
Job specification	1.000	.911
Understanding	1.000	.725
feedback provided	1.000	.807
Communicate results	1.000	.845
interview	1.000	.824
feedback received	1.000	.907
comments	1.000	.791
Reward Mot Performance	1.000	.815
Rewards given	1.000	.797
desire motivator	1.000	.823
Interest Motivator	1.000	.875
Success Motivate	1.000	.870
Money	1.000	.819
Rewards Ability	1.000	.854
rewards Skill	1.000	.825
Needs	1.000	.831
Job Type	1.000	.922
Environment	1.000	.756
Manager Friendly	1.000	.744
Comment	1.000	.832
better Education	1.000	.730
Job Loss	1.000	.871
Moral Support	1.000	.813
Appraisal By Colleague	1.000	.824
student Questionnaire	1.000	.839
Observation	1.000	.634
Interview	1.000	.760
Systematic Procedures needed	1.000	.755
Head Dept Active	1.000	.880
Head Dept Research	1.000	.775
Annual Interview	1.000	.834
Further Syst. Procedures Needed	1.000	.892
Train Head	1.000	.840
involved	1.000	.692

Extraction Method: Principal Component Analysis.

Total Variance Explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	11.290	23.521	23.521	11.290	23.521	23.521
2	4.457	9.286	32.807	4.457	9.286	32.807
3	4.059	8.456	41.263	4.059	8.456	41.263
4	3.127	6.514	47.778	3.127	6.514	47.778
5	2.599	5.415	53.193	2.599	5.415	53.193
6	2.407	5.015	58.208	2.407	5.015	58.208
7	2.104	4.383	62.591	2.104	4.383	62.591
8	1.910	3.979	66.570	1.910	3.979	66.570
9	1.648	3.433	70.003	1.648	3.433	70.003
10	1.539	3.206	73.209	1.539	3.206	73.209
11	1.396	2.909	76.118	1.396	2.909	76.118
12	1.337	2.786	78.904	1.337	2.786	78.904
13	1.142	2.379	81.283	1.142	2.379	81.283
14	.989	2.060	83.342			
15	.917	1.909	85.252			
16	.867	1.807	87.058			
17	.826	1.722	88.780			
18	.685	1.426	90.206			
19	.644	1.341	91.547			
20	.570	1.188	92.735			
21	.524	1.092	93.828			
22	.447	.931	94.759			
23	.411	.857	95.615			
24	.357	.743	96.359			
25	.318	.662	97.021			
26	.291	.606	97.626			
27	.236	.491	98.117			
28	.216	.450	98.567			
29	.188	.392	98.959			
30	.106	.221	99.180			
31	.101	.210	99.390			
32	8.846E-02	.184	99.574			
33	7.353E-02	.153	99.728			
34	5.554E-02	.116	99.843			
35	3.848E-02	8.017E-02	99.923			
36	1.915E-02	3.989E-02	99.963			
37	1.345E-02	2.801E-02	99.991			
38	4.151E-03	8.648E-03	100.000			
39	6.074E-16	1.265E-15	100.000			
40	4.211E-16	8.772E-16	100.000			
41	2.770E-16	5.770E-16	100.000			
42	9.346E-17	1.947E-16	100.000			
43	4.524E-17	9.425E-17	100.000			
44	-1.258E-16	-2.621E-16	100.000			
45	-2.975E-16	-6.197E-16	100.000			
46	-3.783E-16	-7.881E-16	100.000			
47	-4.516E-16	-9.408E-16	100.000			
48	-8.569E-16	-1.785E-15	100.000			

Extraction Method: Principal Component Analysis.

Component Matrix[a]

	Component					
	1	2	3	4	5	6
Performance Eval Systems	-.194	.539	6.148E-02	-5.482E-02	-7.576E-02	.320
Perf. Appraisal Time	-.464	.369	-.242	-.305	-9.335E-02	-.170
Perf Appraisal Conducted	-.259	.389	-.435	-.345	1.259E-02	-.331
Method of Appraisal	-3.084E-02	.243	-.230	-.141	.399	.429
Enhance performance	.495	.361	-8.636E-02	-.385	.233	6.925E-02
Promotion high position	.566	-1.991E-02	.311	-.464	-.217	.198
training	.600	.215	.225	-.508	2.763E-02	-.118
Disciplinary Action	.334	.285	.366	-5.851E-02	-.326	.344
Motivation	.170	.470	.242	-.308	.180	-.142
control	-.171	.515	.251	-.119	.382	-2.602E-02
Salaries	.114	-.292	.610	-4.489E-02	-.312	-4.732E-02
Promotion decision	.531	-4.663E-02	.349	-4.074E-02	-.150	-3.647E-02
Growth	.624	.319	.406	4.098E-02	.184	-.219
Job Description	.716	.314	.415	6.437E-02	-4.796E-02	.142
Job specification	.685	.183	.430	1.998E-02	-2.910E-02	.156
Understanding	.771	.229	3.696E-02	-1.169E-02	.125	5.268E-02
feedback provided	.799	.180	1.991E-02	1.323E-02	-1.155E-02	-5.834E-02
Communicate results	.651	.279	-.439	8.287E-02	6.508E-02	.155
interview	.491	.289	-.242	-.248	-4.108E-02	.168
feedback received	.689	.148	-.488	3.694E-02	9.119E-02	.283
comments	.341	-9.799E-02	-.297	-.235	3.746E-02	9.577E-02
Reward Mot Performance	.186	-1.158E-02	.457	.236	.290	-.440
Rewards given	.348	9.465E-03	-9.315E-02	4.139E-02	.178	-.692
desire motivator	.709	-.336	.238	1.478E-02	.291	.125
Interest Motivator	.579	-.530	.186	.297	-4.592E-02	.268
Success Motivate	.555	-.537	.146	.152	.312	.177
Money	.440	.109	.345	.153	-.105	-.327
Rewards Ability	.860	2.780E-02	-2.511E-02	-6.783E-02	2.306E-02	1.411E-02
rewards Skill	.853	8.058E-02	-2.998E-02	-2.687E-02	8.482E-02	2.157E-02
Needs	.489	-.118	-.318	-3.270E-02	-.461	-.180
Job Type	.547	-.250	-.217	2.408E-02	-.599	.115
Environment	.476	-.404	-.103	.291	6.005E-02	-.117
Manager Friendly	.469	-.429	-.289	.189	.213	-.152
Comment	.555	7.359E-02	-.203	-.349	.158	-.222
better Education	.380	-.239	-.194	9.947E-02	.416	-.279
Job Loss	-.423	1.113E-02	.541	-.154	-.154	-2.160E-02
Moral Support	.710	-7.030E-02	-.320	.150	.135	-2.551E-02
Appraisal By Colleague	-.308	.249	-3.666E-02	.295	8.743E-02	.126
student Questionnaire	-.307	4.273E-02	.181	-.271	.198	2.863E-02
Observation	-.168	1.692E-02	.122	.172	.314	.559
Interview	-.354	3.050E-02	.256	.180	.543	.144
Systematic Procedures needed	-.190	.136	-9.741E-02	.432	.139	.114
Head Dept Active	.276	.534	-.144	.438	-.358	3.927E-02
Head Dept Research	.354	.437	-.313	.306	-.211	-.137
Annual Interview	9.559E-02	.430	.279	.617	-.166	-.111
Further Syst. Procedures Needed	-3.084E-02	.558	-.244	.608	3.288E-02	-1.755E-02

Extraction Method: Principal Component Analysis.

Component Matrix[a]

	Component					
	1	2	3	4	5	6
Train Head	-7.716E-02	.452	.400	.281	4.617E-02	-.152
involved	.195	.148	-.216	4.786E-02	9.163E-02	.115

Extraction Method: Principal Component Analysis.

Component Matrix[a]

	Component				
	7	8	9	10	11
Performance Eval Systems	.142	-2.243E-02	.288	3.639E-02	-.283
Perf. Appraisal Time	-7.169E-02	.201	9.281E-03	-.228	.203
Perf Appraisal Conducted	-.203	-.221	8.210E-02	-2.034E-02	.103
Method of Appraisal	-5.240E-02	-.295	-.322	.269	.196
Enhance performance	.268	-.105	-.195	6.263E-03	-.166
Promotion high position	.206	6.783E-02	1.284E-02	-7.319E-02	.200
training	-7.467E-02	5.820E-02	-.226	-7.929E-02	-.189
Disciplinary Action	7.397E-02	.142	-7.646E-02	8.280E-02	-6.035E-02
Motivation	.307	.295	-.150	.278	.299
control	.260	.347	.130	8.309E-02	.306
Salaries	5.304E-02	7.218E-02	.432	.261	9.502E-03
Promotion decision	.413	-.344	.228	-3.513E-03	9.719E-02
Growth	-5.840E-02	2.829E-02	-.272	4.498E-02	.162
Job Description	-.187	-5.650E-02	-.174	-.210	-6.160E-02
Job specification	-.250	-5.317E-02	-1.469E-02	-.341	-1.036E-03
Understanding	3.017E-02	-.123	.137	.140	-1.039E-02
feedback provided	.153	-.112	2.059E-02	-9.576E-02	.236
Communicate results	-5.182E-02	-.168	.205	-.149	-.101
interview	-.201	9.371E-02	.414	-2.300E-02	-.164
feedback received	9.263E-02	-7.971E-02	3.384E-02	-.208	8.258E-03
comments	.600	.209	6.573E-02	-.152	-.253
Reward Mot Performance	.200	-.215	-7.136E-02	1.831E-02	-.168
Rewards given	.158	-.247	2.077E-02	.107	-.202
desire motivator	-.117	-2.645E-02	5.988E-02	.127	3.039E-02
Interest Motivator	4.526E-02	.142	-9.879E-02	-8.216E-02	.150
Success Motivate	-5.490E-02	-1.418E-02	5.857E-02	.195	2.737E-02
Money	-.450	2.395E-03	.237	.176	-.163
Rewards Ability	-.226	5.408E-02	1.956E-02	-7.572E-02	-4.357E-02
rewards Skill	-.262	-1.560E-02	5.260E-02	6.902E-02	-2.150E-02
Needs	.136	.187	1.768E-02	.387	.105
Job Type	4.317E-02	.221	-.243	.153	-6.950E-02
Environment	.144	.269	-7.621E-02	-.296	.215
Manager Friendly	9.260E-02	.176	.222	-.130	.127
Comment	-.174	.202	.381	-.134	-2.423E-02
better Education	-9.701E-02	.404	-.166	-9.245E-02	-8.937E-03
Job Loss	.236	.107	.233	-.325	.161
Moral Support	.171	-.123	9.046E-02	6.254E-02	.166
Appraisal By Colleague	6.767E-02	-.223	.389	5.558E-02	.431
student Questionnaire	-.470	.558	2.060E-02	8.770E-02	1.441E-02
Observation	-.101	-4.108E-02	3.510E-02	.115	-.102
Interview	4.830E-02	5.698E-02	1.367E-02	5.314E-02	-4.290E-02
Systematic Procedures needed	.332	.376	3.377E-02	-9.956E-02	-.385
Head Dept Active	-9.073E-02	.148	-.242	-.149	.163
Head Dept Research	9.596E-02	-2.354E-02	-.168	.308	-4.064E-03
Annual Interview	-.130	3.279E-02	2.480E-02	.116	3.061E-02
Further Syst. Procedures Needed	-7.463E-02	.164	.189	-.145	.118

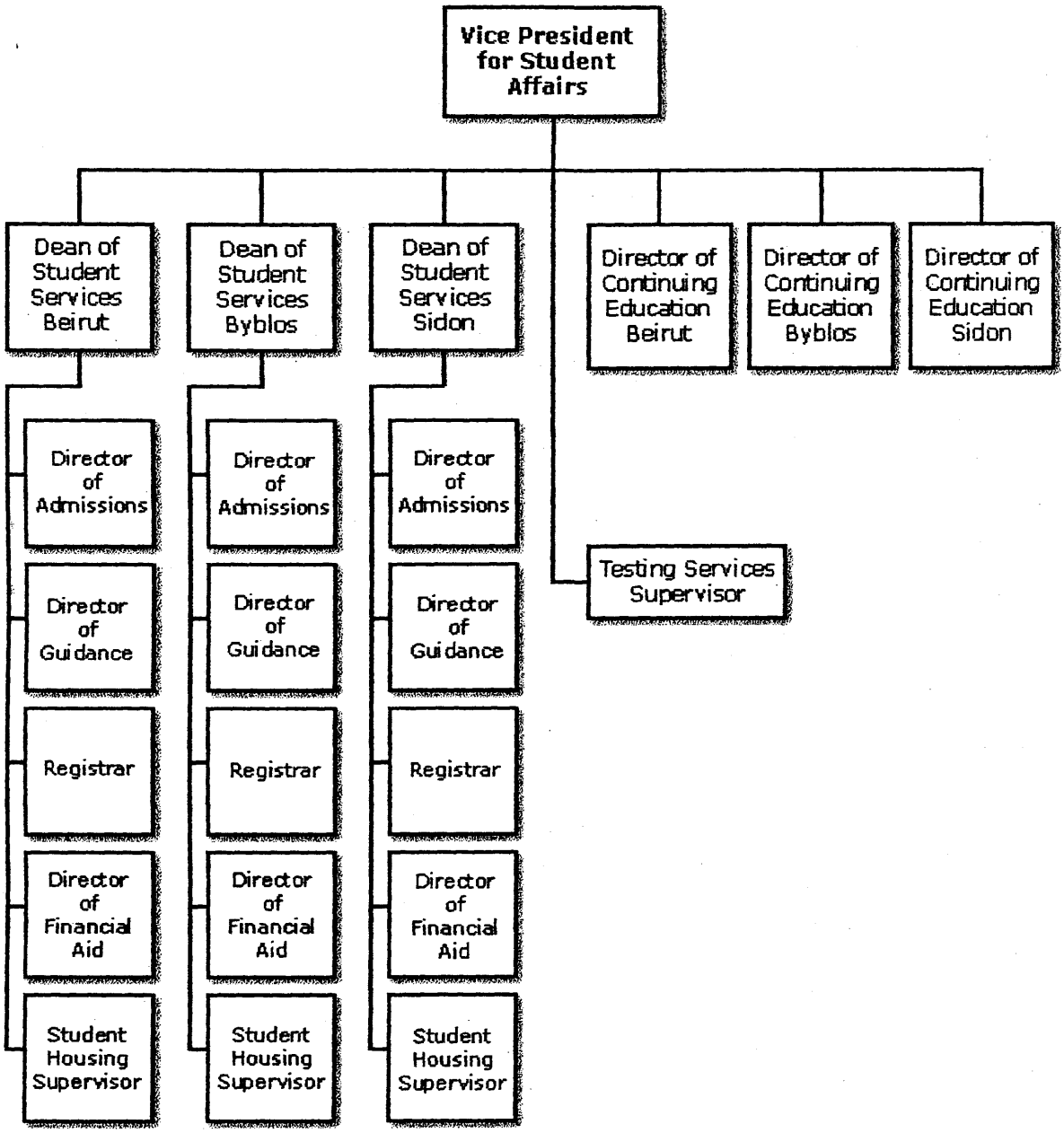
Extraction Method: Principal Component Analysis.

Component Matrix[a]

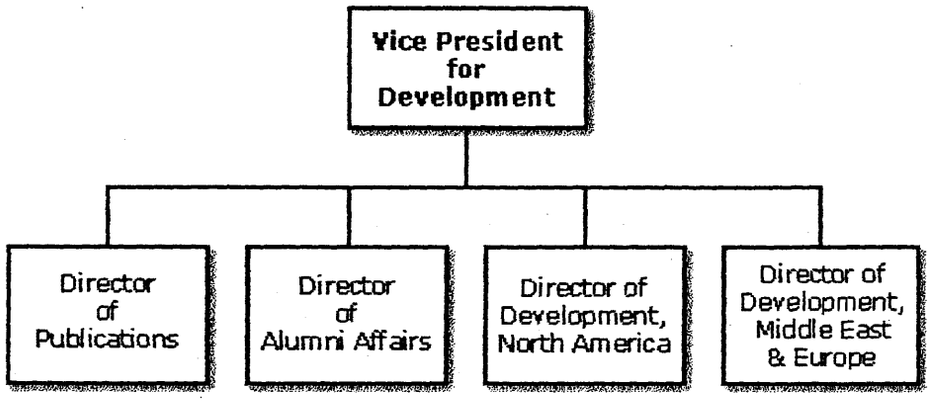
	Component				
	7	8	9	10	11
Train Head	.246	7.106E-02	-6.224E-02	-.123	-.291
involved	9.647E-02	.361	.163	.481	-.113

Extraction Method: Principal Component Analysis.

Organization Chart



Organization Chart



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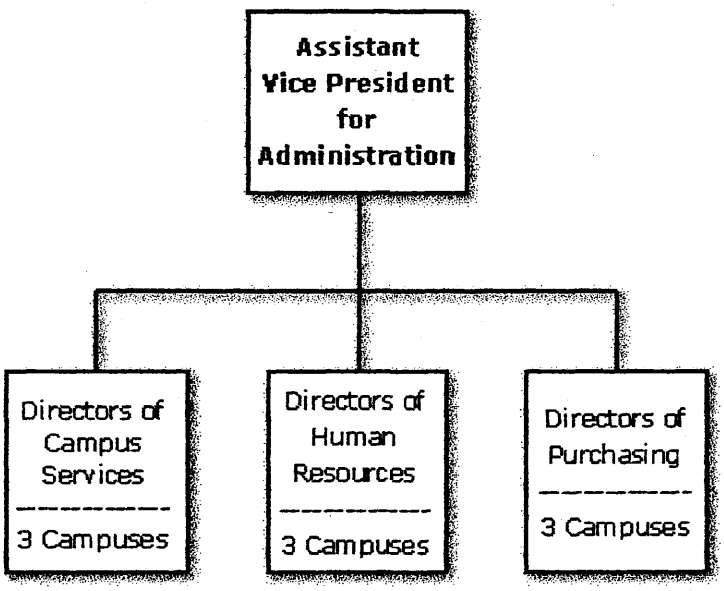

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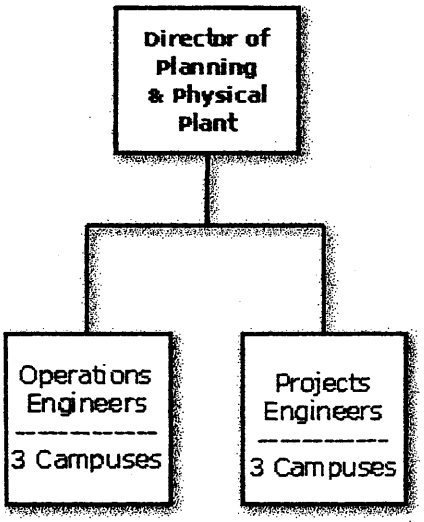

SPECIAL NOTE

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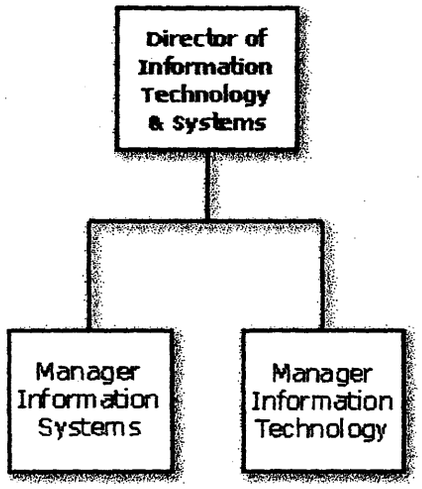
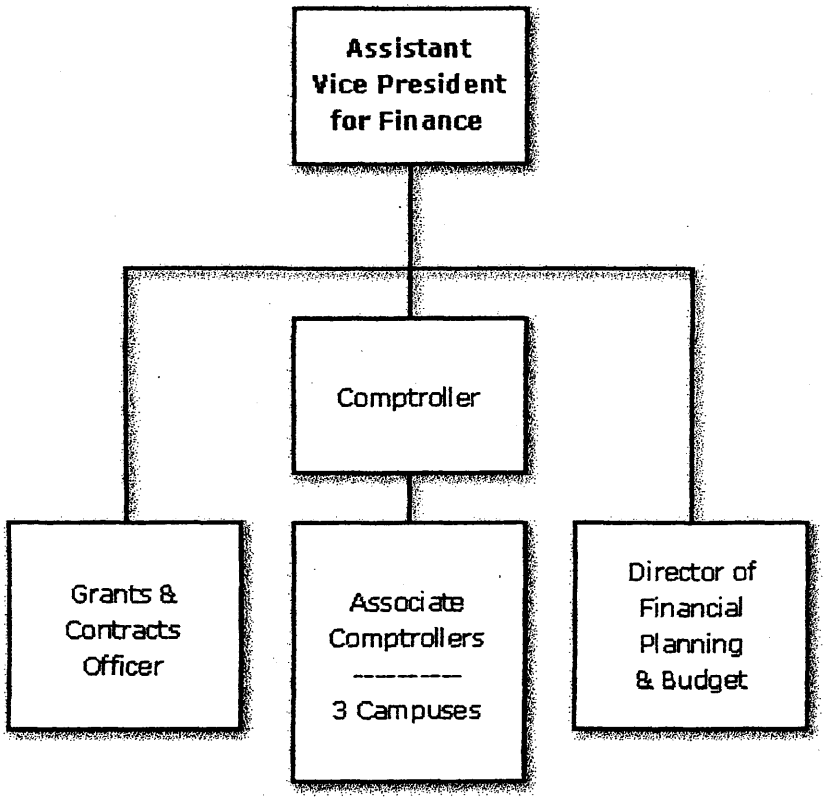
anization Chart



Organization Chart



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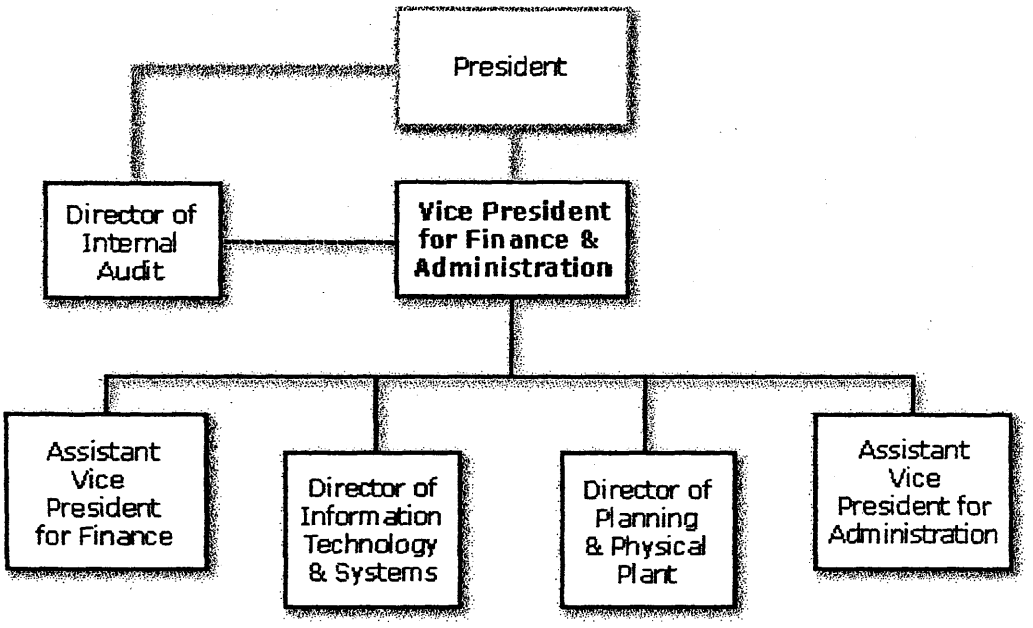
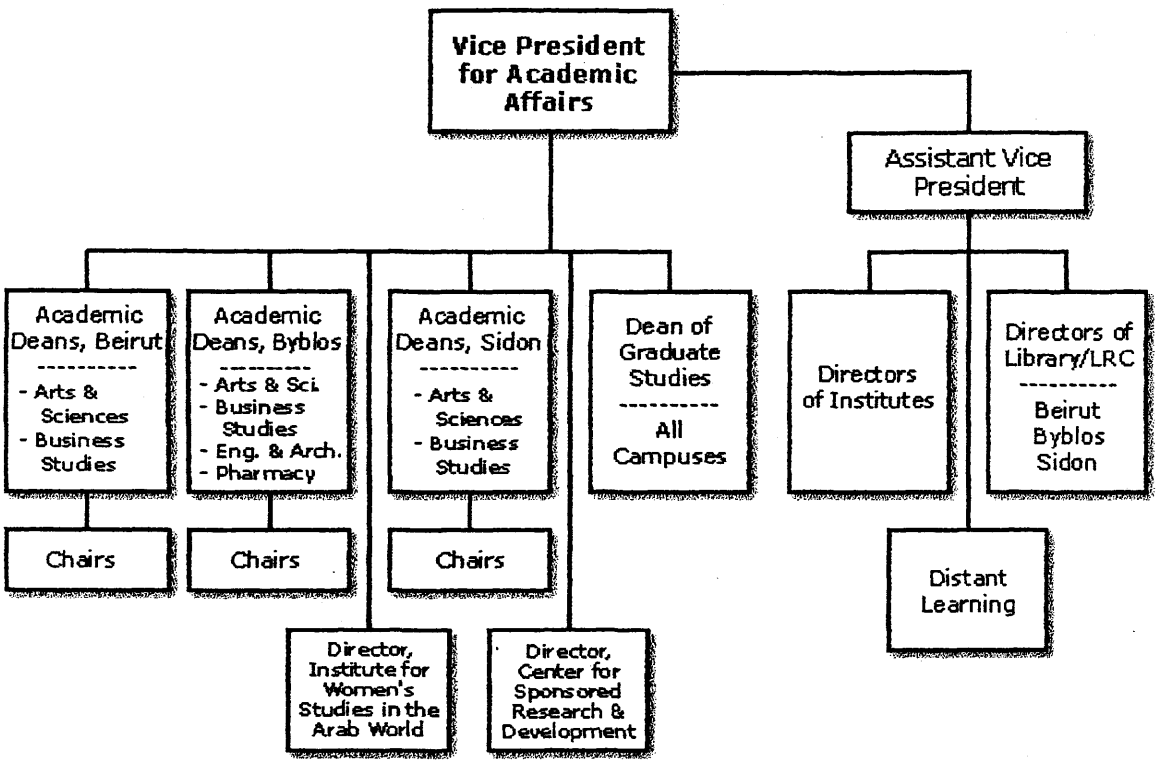


Organization Chart



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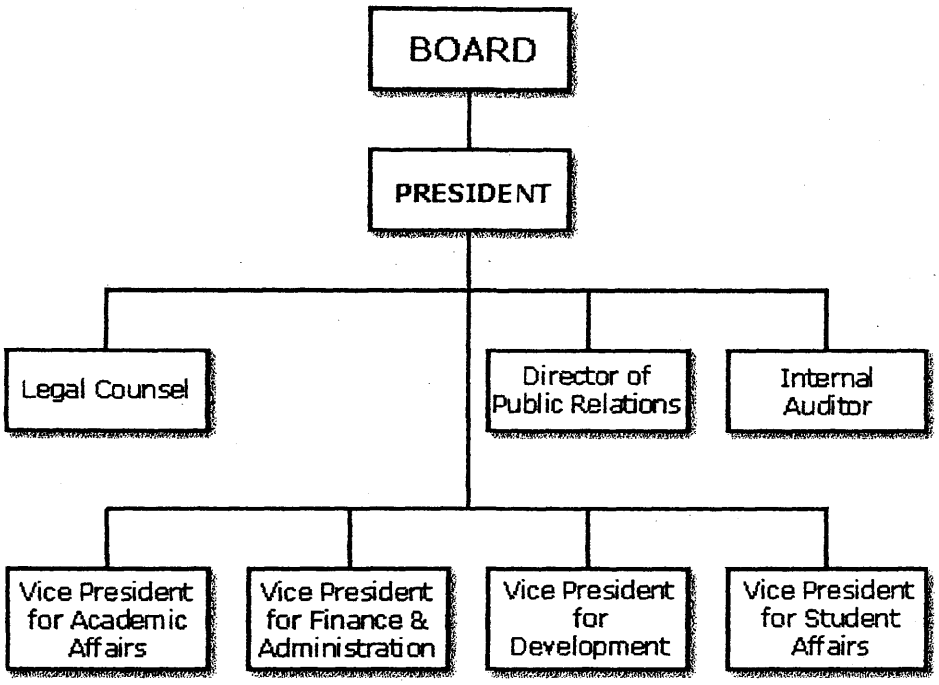

Click on the links at the bottom to see more of the chart.

Appendix G

Student Evaluation of Teaching Effectiveness

Teacher Evaluated: S. Karkoulian

Course Number: 4223A

Students Enrolment: 43

Students responded: 29

	A	B	C	D	E	Response	Score
1) Organization of Subject-Matter	12	15	00	00	00	02	3.44
2) Keeping Time	25	02	01	00	00	01	3.85
3) Apparent Knowledge of Subject	13	13	02	00	00	01	3.39
4) Ability to Explain	14	07	07	00	00	01	3.25
5) Ability to Encourage Thinking	09	11	05	01	02	01	2.85
6) Fairness in Testing	08	15	04	01	00	01	3.07
7) Speaking ability	12	09	04	03	00	01	3.07
8) Opportunity for Questions & Discussion	20	05	03	00	00	01	3.60
9) Attitude toward Students	17	06	03	00	02	01	3.28
10) Personality of Instructor	18	06	02	00	01	02	3.48
11) Office Hours	20	04	03	00	00	02	3.62
12) Use of Blackboard	17	06	03	01	00	02	3.44

Average Score = 3.36

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