Having a close look on the Effectiveness of Academic Staff Performance Appraisal
(An Indonesian case)

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Abstract

A qualitative case study method was used in this research in order to have a close look on the effectiveness of academic staff performance appraisal in higher education. For further analysis, the research findings had been triangulated to the extend theory and existing research findings for comparing and contrasting.

Findings the research shows that both academic staff and faculty leaders agree that current academic staff performance appraisal is not effective in achieving individual or institutional goals. The performance appraisal for academic staff is not yet effective in achieving academic staff individual goals because their performance appraisal have a poor contribution to academic staff achievement, because it provides poor feedback, lacks recognition for academic staff achievement, provides poor reward (incentives) for good performance and lacks sanctions for poor performance.

Institutionally, academic staff performance appraisal is not yet effective in achieving faculty goals, due to of several problems, for instance, poor commitment from faculty leaders, lack of faculty support to implement academic staff performance appraisal, poor faculty leadership and lack of qualified faculty leaders, lack of qualified academic staff, poor support for academic staff performance development, and lack of faculty senate and seniors support for the faculty.

Key words: academic staff, academic staff performance appraisal, Effectiveness and qualitative study

1. Introduction

Higher education is considered as one of the most effective instruments for development, especially human resources and social development (Tadjudin 2003). Therefore, in Indonesia, the government has put in place a number of measures to address these issues. The new paradigm (Brodjonegoro 1997) has been proposed in managing education in Indonesia. It advocates: autonomy, accountability, accreditation, self evaluation and continuous quality improvement. The new paradigm replaces a strictly centralist practice that had precluded creativity, innovativeness and risk-taking at and by the institutions (Idrus 1999).

The objective of the national strategy in higher education system in Indonesia is, therefore, to develop institutional credibility through restructuring the nation-wide system, as well as the university system (Task Force 2000). The systems should be accountable to the public, demonstrated by high efficiency of its operation, quality and relevance of its outputs, and an internal management that is publicly transparent and comply with the acceptable standard of quality (Moeliodihardjo 2000). Moreover, the higher education program should also be responsive and adaptive to the current challenges (Brodjonegoro 2003).

In relation to those issues above and to achieve the purpose of its new paradigm in higher education, the roles of academic staff in higher education constitute a critical ingredient influencing the quality and effectiveness of higher education institutions. Universities cannot respond to external changes and pressures without the involvement of capable, committed, and knowledge faculty members or academic staff (Austin 2002). The challenge for many academic staff, however, is that they are being asked to fulfill tasks and assume roles for which they may not be adequately prepared (Austin 2002). Therefore, having an *effective performance appraisal* is expected not only as a tool to motivate academic staff to perform on their best pedagogy to improve the quality of the learning process in education, but also as a tool to achieve the faculty goals in a broader perspective.

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In this paper for the flow of the discussion in order to have a close look on the Effectiveness of Academic Staff Performance Appraisal we will present five main sections. First section is introduction; second section is research methodology that had been used in this research; third is the research findings followed by discussions in section four and will be ended by the conclusion.

II. Research Methodology

The research was conducted by applying the case research method. The case research method usually addresses research problems within the constructivist or realism paradigms rather than the positivist paradigm (Perry 1998), and in this research the constructivism paradigm fits with the research problem. Therefore, the goals of research, then, is to rely as much as possible on the participants' views of the situation being studied (Creswell 2003).

The qualitative method is used in this research which is designed to provide an in-depth description of a specific research problem. Key words associated with qualitative methods include complexity, contextual, exploration, discovery and inductive logic (Mertens 2005). Thus, as the research problem is still under debate as discussed above, and there is limited information on them, especially in the Indonesian context, exploratory research is the appropriate method for this research. This method could be used to diagnose a situation, screen alternatives and discuss new ideas (Zikmund 2000) in academic staff performance appraisal. Therefore research problem is '*to explore the effectiveness of academic staff performance appraisal from stakeholders' perspective: a case study of multiple attitudes and perceptions in one faculty of one university in Indonesia*'.

A single case study had been chosen for the research because, the inquirer desires to utilise the intrinsic case study (Stake 1994) as the primary priority where the researcher interest here was the case itself, and the secondary priority was the expectation of advancing understanding of the nature of academic staff performance appraisal in higher education, which would be an instrumental case study. Besides, the case study can be a very worthwhile way of exploring existing theory. In addition, a simple, well-constructed case study can enable us to challenge an existing theory and also provide a source of new hypotheses (Saunders, Lewis & Thornhill 2003).

Data Collection Technique

Both primary and secondary data were collected. Primary data through in-depth interviews, focus group discussions and participant observation and secondary data were collected by having literature review.

Primary data bridges research gaps rising from the literature review. One of the main thrusts of this research was to investigate 'meaning' (Van Maanen 1983) and the key qualitative tool is the interview, a data collection instrument which had been described as the essential source of information for the case study method (Yin 1994). In this research, the primary data are sourced from: (1) pilot study, (2) participant observation, (3) in-depth interview and (4) focus group interview.

In regard to this research, the pilot study had been carried out for in-depth interviews. This pilot study was used to improve the research protocol guide that was used in interviews, both in the in-depth and focus groups, and to improve the interview technique, especially for prompt questions.

Alder & Alder (1994) suggest that qualitative researchers tend to use participant observation rather than observation. The emphasis in participant observation is on discovering the meanings that people attach to their actions (Saunders, Lewis & Thornhill 2003). Therefore, in this research the researcher becomes a direct participant in the social process being studied.

Focus Group Interview

In this research, focus group interview was unstructured, free-flowing interview with a small group of people. It was not a rigidly constructed question-and-answer session, but a flexible format which encourages discussion to allow people to discuss their true feelings, anxieties and frustrations, and to express the depth of their convictions in their own words (Zikmund 2000).

Three focus group discussions were conducted. Each focus group discussion had 5 to 10 participants which lasted from 1 ½ to 2 hours for each focus group discussion. The three groups were taken from three departments, in which

the members of each group were academic staff who were selected from the same department, on the basis of gender, experiences, seniority and education.

In-depth Interview

In this research, the in-depth interviews were terminated when the information was 'saturated or redundant' (Lincoln and Guba 1985), as determined from the respondents' transcripts. However, participants from each department had been selected representatively. The numbers of participants for the in-depth interviews were: (a) academic staff acquired from both senior and junior teaching staff on the basis of the gender, experience as academic staff and educational level, with five to seven participants from each department; and (b) seven structural/ administrators consisting of dean, vice deans (dean I, dean II and dean III) and three of heads of department.

The Approach of Analysis

Even though, it has been suggested that "there are no formal, universal rules to follow in analysing, interpreting, and evaluating qualitative data" (Patton 1980, p. 268), Qualitative data analysis is less standardised (Newman 2003), therefore, unlike quantitative analysis, in qualitative research the researchers rarely know the specifics of the data analysis when they begin a project. However, for the purpose of this research, the researcher had used thematic analysis for analysing the data.

'Thematic analysis is a way of seeing' (Boyatzis 1998, p.1). Thematic analysis is part of the early procedures of data analysis in grounded theory, but grounded theory goes beyond thematic analysis (Ezzy 2002). Both thematic analysis and grounded theory employ similar techniques for analysing data. One difference between the two is that grounded theory utilises theoretical sampling in which emerging analysis guides the collection of further data, and this is not done in thematic analysis (Ezzy 2002).

In thematic analysis, there are three alternative methods for developing a thematic code: theory driven; prior data or prior research driven; and inductive (from raw data) or data driven. This research used the third alternative in which the thematic code was inductive and was developed from raw data, i.e., data driven. Boyatzis (1998) explains that there are five steps involved in inductively developing a code: reducing the raw information; identifying themes within sub-samples; comparing themes across sub-samples; creating a code; and determining the reliability of the code.

The first step was to reduce the raw information through paraphrasing or summarising each piece of data or information from each respondent and each focus group discussion, in order to understand the raw information, internalise as much of it as possible, and to reduce it to a manageable size.

The second step was to identify the themes within the sub-samples, by comparing the summaries to determine the similarities among the pieces of information within each sub-sample separately. The objective of this stage was to recognise and articulate potential themes present in academic staff performance appraisal among the sub-samples.

The third stage was to compare the themes across the sub-samples. In this stage, the researcher examined the lists of themes and looked for potentially related themes from each list. Some themes appeared as polar opposites in their characteristics and some seemed to involve similar phenomena. The researcher then more accurately, rewrote those potentially differentiated and non-differentiated.

The next stage was creating the coding. Thematic analysis was used in this research to analyse the collected data. The themes were initially generated inductively from the raw information. Then coding was applied as a process of identifying themes or concepts within the data. The three stages of coding of thematic analysis were used: open coding, axial coding and selective coding.

The Goodness of Qualitative Research

Two sets of criteria have been applied in this research for judging the goodness or quality of a constructivist inquiry (Guba & Lincoln 1994): the *trustworthiness criteria* of credibility and the *authenticity criteria* for fairness and ontological authenticity (which enlarges personal constructions).

Trustworthiness criteria of credibility. In qualitative research, the credibility test asks if there is a correspondence between the way the respondents actually perceive social constructs and the way the researcher portrays their viewpoints (Mertens 2005). For the purpose of this research the researcher had met the following criteria:

- *Prolonged and substantial engagement.* For the research purpose, the researcher spent almost five months on data collection, and almost one year on data analysis.

- *Persistent observation.* The researcher observed long enough to identify the salient issues. Persistent observation was a goal of the research, as the researcher has been one of the members of the academic staff at the subject faculty for almost 13 years.

- *Peer debriefing.* The researcher engaged in an extended discussion with a disinterested peer, of findings, conclusions and analysis with a disinterested peer. This peer debriefing was done primarily through colloquium, workshops, and discussions with experts.

- *Member checks* are the most important criteria in establishing credibility (Mertens 2005). In this research, at the completion of each interview, the researcher summarised what had been said and asked if the notes accurately reflected the respondent's position, by showing the interview transcript to the interviewee.

- *Triangulation.* It involves checking information that has been collected from different sources or methods for consistency of evidence across sources of data (Mertens 2005). In this research, multiple methods such as *interviews* and *participant observation* have been used, and information has been sought from multiple sources using the same method, interviewing different groups: faculty leaders, academic staff and students.

Authenticity criteria for fairness & ontological authenticity. *Authenticity* refers to the presentation of a balanced view of all perspectives, values, and beliefs (Lincoln & Guba 2000). To ensure fairness in this research, the researcher has identified the respondents, and there is also open negotiation of the recommendations and the agenda for future actions. In regard to *ontological authenticity,* it had been done through member checks with respondents. Ontological authenticity is refer to the degree to which the individual or group's conscious experience of the world become more informed or sophisticated (Mertens 2005).

III. Findings

Faculty Leaders

How effective is performance appraisal in achieving both lecturer and faculty goals? The findings of the research analysis indicated that performance appraisal for academic staff was not effective, yet, in achieving either academic staff or faculty goals. The faculty leaders examined four interconnecting variables that could influence the level of effectiveness of academic staff performance appraisal in achieving both academic staff and faculty goals in the current situation. The first variable was individual academic staff achievement. It related to the idealism academic staff held toward their jobs and their educational development. Faculty leaders noticed that the idealist academic staff had a strong commitment toward their jobs, strong self discipline and were enthusiastic about their personal achievement and improvement. Those idealist academic staff would work hard for what they desired or wanted, even though, there was poor support from the faculty. Unfortunately, only few academic staff were considered to be idealists. Faculty leaders realised that there was limited support financially for educational development of the academic staff where many academic staff continued their study by self-effort and self-funding. Moreover, poor supervision and guidance for junior academic staff, lack of training programs, lack of fairness and poor rewards and sanctions were predicted by the faculty leaders to thwart personal achievements of the academic staff.

Institutional (faculty) achievement was another variable that could influence the level of effectiveness of academic staff performance appraisal in achieving academic staff and faculty goals. According to faculty leaders institutional achievement was connected to faculty commitment, faculty role, the role of seniors, the quality of academic staff, the teaching and learning process and research and community service activities. As discussed at research question by the faculty leaders, those variables were also observed as being major obstacles in implementing academic staff performance appraisal. Therefore, the faculty leaders mentioned that it was currently difficult to improve the institutional (faculty) achievement, since there were so many things that had to be managed, prepared and executed appropriately.

The third variable was the qualifications of the faculty leaders and academic staff. Some faculty leaders stated that if they were allowed to give a rank for faculty leaders, academic staff and student performance on average, they would say that faculty leaders performed at only around 20% of their potential capacity, and 40% to 50% for academic staff and students. In regarded to academic staff qualification, some faculty leaders said that only 50% of academic staff were qualified as academic staff. Therefore, the faculty could not expect too much of the academic staff. Regarding the barriers and the problems that were being faced by the faculty in the current situation, the faculty leaders observed that academic staff performance in fact was quite good enough.

The final variable was work happiness that could motivate academic staff to work optimally. Faculty leaders mentioned that it referred to the welcoming situation on campus, the enthusiasm to share among academics, and the support, proper attention and recognition that were given for academic achievement. Briefly, it could be said say that if there was work happiness for academic staff, there was a conducive situation to improve the institutional achievement.

Academic Staff

How effective is performance appraisal in achieving both lecturer and faculty goals? Based on the academic staff interviews, the research analysis concluded that current academic staff performance appraisal in the faculty was not effective, and did not achieve the goals of academic staff or the faculty. The research findings were relatively similar to the faculty leaders' perceptions. Academic staff believed that there were three main issues that the faculty should pursue to improve the level of academic staff performance appraisal effectiveness in achieving both academic staff and faculty goals. These were poor preparation for institutional achievement, lack of consideration of individual achievement and a poor working environment.

First was the poor preparation for institutional achievement which referred to the faculty management as discussed at research question, by the academic staff, regarding major obstacles in academic staff performance appraisal implementation. Therefore academic staff performance was not aligned with institutional achievement. Academic staff believed that it was because faculty leaders had low level commitment to academic staff performance appraial implementation; the faculty did not contribute to academic staff improvement and development; academic staff performance depended on self-reliance and poor faculty support; there was a lack of senior academic staff roles in supporting academic staff performance appraisal implementation and academic activities in general; a lack of cadres and qualifications for academic staff and faculty leaders; poor rewards and sanctions attached to academic staff; and lack of job opportunities to gain experience and generate extra income which was strongly needed by academic staff since the academic staff salary as government employees was considered not enough to support their families. In addition, as stated by faculty leaders about faculty leader and academic staff performance at campus on average, academic staff came to the same conclusions. Academic staff said that the faculty leaders only performed at around 20% of their capacity, while 40% to 50% was the stated performance rate for academic staff. In terms of academic staff qualifications, academic staff observed that only about 50% to 60% of all academic staff were qualified as academic staff.

Second was the lack of consideration of individual achievement. According to academic staff, this related to their personal reasons for becoming academic staff, and their career and educational development. The academic staff observed that the choice to be an academic staff was influenced by two forces, internal and external. Internal meant that a person became an academic staff because of their own will. Gaining knowledge, enjoying teaching and loving research activities were stimulants mentioned by those academic staff who really wanted to become an academic staff member. Similarly, the academic staff seemed to like their job because the job itself offered dynamic activities and freedom, compared to other formal jobs. Hence, the academic staff who were internally motivated were more idealist in their working. They had strong commitment toward their job, strong self-discipline, high achievements, and were eager to improve their performance. Unfortunately, according to academic staff, in many cases, that type of staff were often neglected by the faculty.

External motivation meant that a person became an academic staff member not purely based on personal will but because of by external forces. Some academic staff mentioned that their situation had caused them to become an academic staff member, such as*, "it was my first job offering and I took it. Anyway it wasn't too bad"*, or *"it was the only job offering I got"*, or other academic staff said that they became an academic staff member because of the family influence or encouragement from senior academic staff.

In the case of academic staff career and educational development, the academic staff observed that it was dependent on personal effort. As discussed previously, poor faculty support, lack of recognition and rewards and sanctions for academic staff performance, lack of educational improvement programs for academic staff, and lack of opportunities and challenges for their expertise were considered by academic staff as triggers for academic staff to maximise their work off campus, rather than optimising their work on campus. In fact, when the researcher asked the question, *'Why do you want to have extra jobs outside campus?'* the answers were consistent. They were financial motives, self-development motives, image motives, desire power, influence and gain experience. To conclude, it could be noticed that the faculty could not manage or utilise the academic staff talent for institutional achievement. Academic staff lacked pride in their job on campus and would find a way to increase their personal achievements off campus.

Lastly, the third issue for pursuit by the faculty to enhance the level of effectiveness of the academic staff in achieving academic staff and faculty goals was the working environment. Currently, at the individual level, it appeared to the academic staff, that the faculty lacked unity, had poor team work and the gaps between seniors and juniors seemed to worsen. Moreover, at the institutional level, academic staff observed that the faculty lacked fairness in decision making, had too much conflict of interest within faculty leaders, and that there was a lack of welcome at the campus. Therefore, academic staff had little respect for a trust in the faculty leaders.

According to AS the there were some reasons why some academic staff were enthusiastic about working on campus and why some academic staff were reluctant to work on campus. Academic staff were enthusiastic about working on campus if students showed interest in their lectures, there were opportunities to share with colleagues, attend meetings to improve academic activities, extra activities apart from teaching to enrich their knowledge and gain extra income, and support and rewards for good performance. In contrast, academic staff were reluctant to work on campus if there was a lack of enthusiasm in their lectures, no extra activities apart from teaching, a lack of fairness, lack of opportunities and challenge, poor support or acknowledgment of their performance, and lack of sharing activities with colleagues.

Common Themes: How Effective is Performance Appraisal in Achieving Both Lecturer and Faculty Goals?

The research question about the effectiveness of academic staff performance appraisal in achieving academic staff and faculty goals was given to faculty leaders and academic staff. In answering this question, both faculty leaders and academic staff voiced common themes, partly in their explanations for each main theme. There are three main themes in this section which are individual academic staff achievement, institutional achievement and working conditions (see Figure 4.7).

- *Individual achievement*: both faculty leaders and academic staff agreed that individual academic staff achievement is difficult to achieve with the current academic staff performance appraisal, due to poor guidance and counselling from seniors, lack of training programs and poor recognition, rewards and sanctions to stimulate academic staff achievement, especially in the case of the idealist academic staff who has a strong commitment to their job, strong self-discipline, is oriented toward eager to have achievement and improvement and tends to work hard towards their goals.

- *Institutional achievement*: the faculty leaders and academic staff have similarities in their perceptions of this theme. They recognise that institutional achievement is not achieved yet for several reasons. Among the reasons are poor commitment of faculty leaders, lack of faculty support in implementing academic staff performance appraisal, poor faculty leadership, lack of qualified faculty leaders, and lack of qualified academic staff.

- *Working condition*: the only similarity between faculty leaders and academic staff in this theme is that currently there are no conducive working conditions at the faculty, due to the lack of motivation and work happiness in both faculty leaders and academic staff.

Differences: How Effective is Performance Appraisal in Achieving Both Lecturer and Faculty Goals?

Although, there are common themes between faculty leaders and academic staff, there are also some differences in their perceptions of these three main themes (see Figure 1).

- *Individual achievement*: only academic staff noticed that individual achievement on campus is difficult for academic staff to achieve with the current academic staff performance appraisal which is partly caused by the failure of the institution (faculty) to acknowledge personal reasons for becoming an academic staff member and the incapability of the institution to provide the opportunity for academic staff to enhance their career on campus, gain extra income, improve their career development and image, and gain experience. Faculty leaders mentioned that individual achievement on campus is difficult for academic staff to attain because the faculty lacks financial support for academic staff educational improvement.

- *Institutional achievement*: only academic staff recognised that institutional achievements have not yet been attained because the faculty provides only poor support to academic staff performance and there is a lack of faculty senate and senior support to the faculty in general.

- *Working condition*: the academic staff discussed theme further. Academic staff noticed that non-conducive working conditions on campus were caused by a lack of unity and poor team work, gaps between senior and junior academic staff, conflicts of interest among faculty members and lack of respect for faculty leaders. None of these issues were addressed by faculty leaders as the cause of non-conducive working conditions on campus.

Figure 1

The Effectiveness of Academic Staff Performance Appraisal in Achieving Academic Staff and Faculty Goals

Do you think the current ASPA is effective in achieving AS and faculty goals?		

Yes! ← *No! ..... Why?*

Themes	FL	AS
1. AS individual achievement at campus is difficult to achieve because:	X	X
• Lack of support toward AS educational improvement	X	
• Poor guidance & counselling from seniors	X	X
• Lack of training programs	X	X
• Poor feedback, recognition, rewards & sanctions to stimulate AS achievement	X	X
• AS personal reasons to become AS:		X
➢ Internal drives (the idealist): gain knowledge, like to teach, love research activities		X
➢ External drives: family influencing, no other job offering, seniors influencing.		X
➢ AS jobs: dynamic & more freedom in working		X
• **Case: self management of the idealist AS:**	X	X
➢ Has strong commitment toward jobs	X	X
➢ Strong self-discipline	X	X
➢ Eager for achievement & improvement	X	X
➢ Work hard for goals	X	X
• Having extra jobs outside campus: lack of opportunity to enhance career at campus, gain financial sources, want to improve self-development & image, gain power of influence & experience.		X
2. Institutional achievement is not yet achieved because:	X	X
• Poor faculty leader commitment	X	X
• Lack of faculty support in implementing ASPA	X	X
• Poor faculty leadership	X	X
• Lack of qualified faculty leaders	X	X
• Lack of qualified AS	X	X
• Poor support for AS performance		X
• Lack of senate & senior support for faculty		X
3. Non-conducive working condition:	X	X
• Lack of unity & poor team working		X
• Gap between seniors and juniors		X
• Conflict of interest among faculty members		X
• Lack of respect toward faculty leaders		X
• Lack of motivation and happiness in working	X	X

Note: ASPA= Academic Staff Performance Appraisal, AS=Academic Staff
Source: Developed for this research

Findings showed that both AS and faculty leaders agree that current academic staff performance appraisal was not effective in achieving individual or institutional goals as described in Table 1. In general, performance appraisal for academic staff seems to have lost its meaning for key stakeholders.

Table 1
**Key Conclusions on the Level of Effectiveness of Academic Staff Performance Appraisal
in Achieving Academic Staff and Faculty Goals**

Issue (1)	The level of effectiveness of ASPA in achieving AS and faculty goals (2)
1	**ASPA is not yet effective in achieving AS individual goals because:** • ASPA has a poor contribution to AS individual achievement, because it gives poor feedback, and lacks recognition for AS achievement • It has poor rewards (incentives) for good performers and lacks sanctions for poor performers. • Lack of support to AS educational development programs and poor guidance and counselling from seniors. **Institutionally, ASPA is not yet effective in achieving faculty goals because:** • Poor faculty leader commitment; lack of faculty support for implementing ASPA; poor faculty leadership and lack of qualified faculty leaders; lack of qualified AS, poor support for AS performance development; and lack of senate and senior support for faculty performance improvement.
2	**The organisational climate is not conducive.** • It has driven the most talented returnees away from their academic commitment which in turn could lessen faculty performance. The talented returnees become over-involved in off-campus activities, i.e., decision-makers in various government agencies, managers and executives in government as well as private business, or establish their own consulting firms. Many AS, in fact, tend to teach in the private universities and neglect their teaching activities on campus. • Poor organisational climate is indicated mostly by poor communication, lack of trust and respect, lack of unity and poor team working, large gaps between seniors and juniors, conflict of interest among faculty members, lack of respect for faculty leaders and lack of motivation and happiness at work. • *Case*: The impact of 'moonlighting' is not all negative, AS argue that by having off-campus activities, they gain experience which is good for teaching and learning, especially in bridging theoretical and practical concepts, and gain extra income that could be positive to support their teaching materials which are currently not provided by the faculty.
3	**Some AS seem to work optimally without a negative impact from current ASPA.** They are categorised as idealists who work with strong commitment to their jobs, strong self-discipline, eager for achievement and improvement, and work hard for what they desires. This phenomenon might be explained by personal reasons to become AS. • Some AS want to become AS because of internal drives such as knowledge, love teaching, and research activities. These AS who have internal drives tend to become idealists. • Others state that they become AS because of external drives, such as family influencing, no other job offering, or senior influences. These AS who have external drives tend to rely on motivators and need stimulation to work. • AS also mention that they chose to become academic staff because the job offers dynamic freedom in working.

Source: Developed for this research
Note: AS=Academic staff, ASPA= Academic staff performance appraisal

IV. Discussions

As a complex organisation, universities are very special institutions.The substance of higher education is different in its totality from that found in industrial organisations, governmental bureaus, and the many agencies that comprise the non-profit sector (Etzioni 1975). In universities the work done on objects or raw material may by some be characterised as routine activities, such as teaching and administration, and non-routine activities such as research. Therefore, academic activities have special features which push academic organisations into certain shapes and cause particular problems of performance and power (Clark 1983). Eventually, performance appraisal goals need to be more comprehensive and beneficial to both individual and organisation (Wiese and Buckley 1998).

Findings the research shows that both academic staff and faculty leaders agree that current academic staff performance appraisal is not effective in achieving individual or institutional goals. For the most part academic staff performance appraisal seems to have lost meaning for key stakeholders. Therefore, academic staff and faculty

leaders argue that performance appraisal for academic staff is not yet effective in achieving academic staff individual goals because their performance appraisal make a poor contribution to academic staff achievement, because it provides poor feedback, lacks recognition for academic staff achievement, provides poor reward (incentives) for good performance and lacks sanctions for poor performance. Moreover, lack of support for academic staff educational development programs and poor guidance and counselling from seniors are among serious problems faced by academic staff in the faculty.

Institutionally, academic staff performance appraisal is not yet effective in achieving faculty goals, due to of several problems, for instance, poor commitment from faculty leaders, lack of faculty support to implement academic staff performance appraisal, poor faculty leadership and lack of qualified faculty leaders, lack of qualified academic staff, poor support for academic staff performance development, and lack of faculty senate and seniors support for the faculty. These findings are confirmed by Jackson and Mathis (1994) who argue that the results of appraisals should be used to develop organisations through the development of its employees by discovering their weaknesses and building on their strengths. This will lead to improvement in organisational productivity. In addition, Khoury (2002) also supports these research findings, as he suggests that the evaluation process should have meaning for the people whose performances have been measured and relate to individuals and organisational goals.

However, in these research findings there is also evidence of an optimistic view, where some academic staff seem to work optimally without any negative impact from the current performance appraisal. They are categorised as idealists who work with strong commitment towards jobs, and strong self discipline. They are eager for achievement and improvement independently, and work hard for what their desires. This research finding is parallel with Bruhn, Zajac, Al-Kazemi and Prescott Jr (2002) research findings as they mention that the majority of the faculty are dedicated, sincere, hardworking, positive, ethically conscious role models. Therefore, there is a need for a renewal and reemphasis on what it means to be a professional and a good citizen in one's chosen profession. This phenomenon might be explained by academic staff personal reasons for becoming academic staff as expressed by academic staff, in this research. Some academic staff mentioned that they wanted to become an academic staff member because of intrinsic motivation such as acquisition of knowledge, a love of teaching and research activities. These academic staff tend to become idealists. Others state that they became academic staff because of external motivation, such as family influences, no other job offerings, or influence of seniors. These academic staff tend to rely on other motivators and need stimulation to work. Moreover, the academic staff also mentioned that they chose to become an academic because the job offers the dynamic activity and freedom in working.

However, as Kurz et al. (1989) mention, although substantial research on the determinants of faculty performance has been conducted, the contingencies among individual, organisational and environmental factors have not been investigated thoroughly. Therefore, the present research findings are expected to contribute and enrich the existing literature in the field of academic staff performance appraisal in the higher educational sector.

Furthermore, the research findings also indicate that the limited ability of university management to maintain a conducive organisational climate has driven the most talented returnees away from their academic commitment, which in turn could be detrimental to faculty performance. The talented returnees become over-involved in off-campus activities, i.e., become decision-makers in various government agencies, managers and executives in government as well as private business, or establish their own consulting firms. Many academic staff, in fact, tend to teach in private universities and neglect their teaching activities on campus.

However, according to academic staff the impact of 'moonlighting' is not all negative. Academic staff argue that by having off-campus activities, they gain experience which is beneficial to their teaching, especially in bridging theoretical and practical concepts, and gain extra income to supply their teaching materials which are currently not provided by the faculty. According to key stakeholders, primarily academic staff, the poor organisational climate is indicated mostly by poor communication, lack of trust and respect, lack of unity and poor team work, a large gap between seniors and juniors, conflict of interest among faculty members, lack of respect toward faculty leaders and lack of motivation and happiness in working

These research findings are implicitly supported by a number of writers. Kurz et al. (1989) mention that faculty performance at the individual level should be understood in relation to institutional performance and the organisational and environmental factors of which it is a function. Cattell (1999, p. 158) states that appraisal has the potential to establish the understanding of shared objectives and, more importantly, will be seen as a two-way process. He also stresses the importance of establishing mutual trust, since performance appraisal relies on an open,

constructive and trusting relationship between all parties concerned (Cattell 1999, p. 162), or a *'psychological contract'* based on co-operation where individuals are encouraged to voice opinions in selecting goals and the methods of achieving those (Handy 1993). Nevertheless, whether appraisal is viewed in the context of human resource management, or performance management, experience shows that without following plans through, the whole process can be become *'an empty ritual'* established merely to satisfy the personnel development function (Adair 1983).. Thus, employees may feel less motivated and unappreciated (Nelson 2000), just as this research has found and as has been discussed in this chapter.

Finally in this discussion the researcher tries to offer three models that could be used to enhance the effectiveness of ASPA implementation which is drawn from the research findings, form the perspective of faculty leaders, AS and students. First is an evaluation model for ASPA effectiveness (Figure 2). Second is the model that shows the relationship of ASPA to factors that influence the process of student studying at university (Figure 3). Lastly is the model that illustrates the relationship of ASPA to factors that influence the AS Performance (Figure 4). These three models are not intended to generalise the research findings, but they are offered as alternative to reconstruct the existing literature in ASPA and to be used for the purpose of benchmarking for the other researchers and to enrich current understanding and improving the implementation of ASPA in higher education.

Figure 2
Model for the Evaluation of the Effectiveness of Academic Staff Performance Appraisal
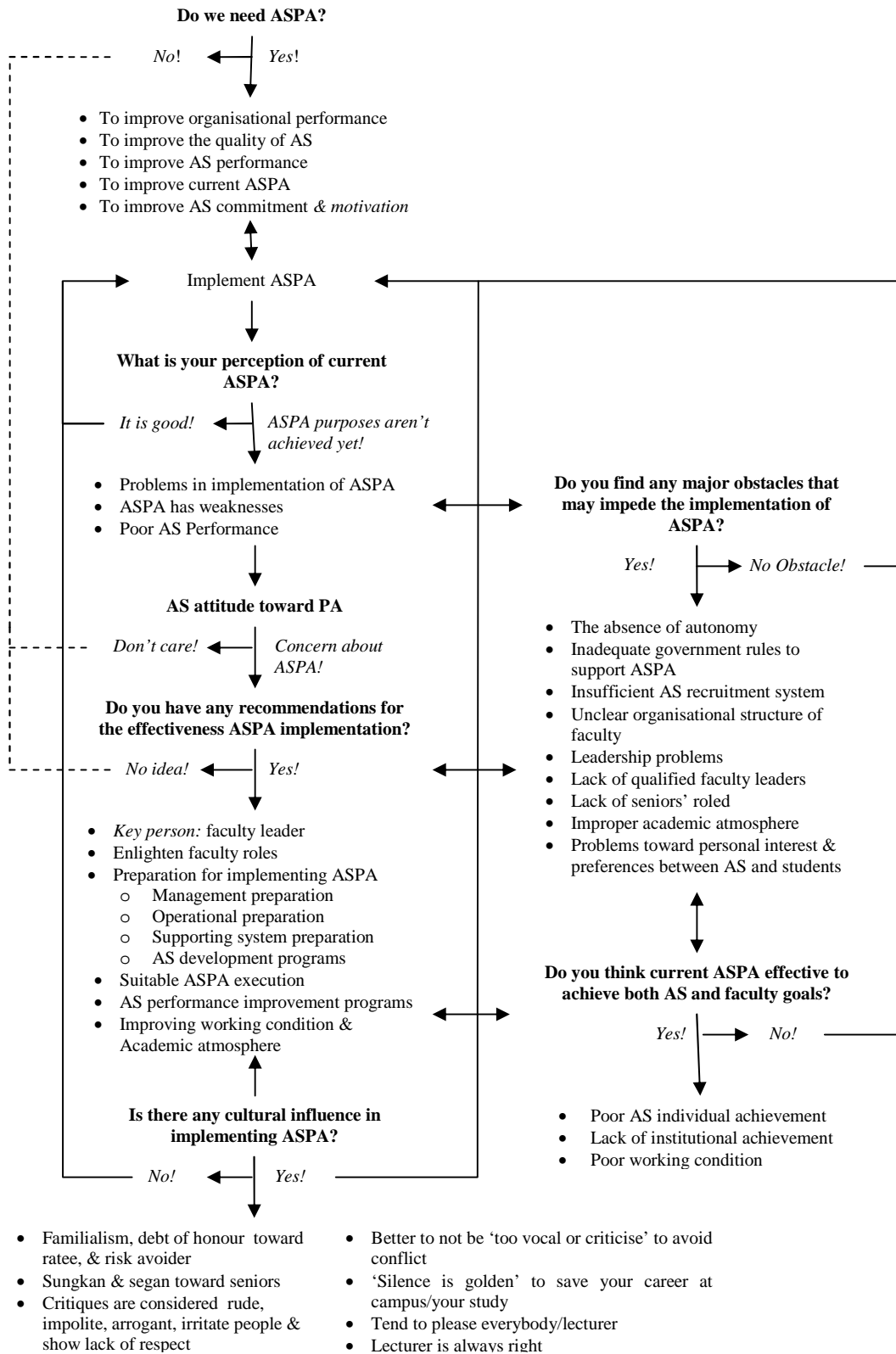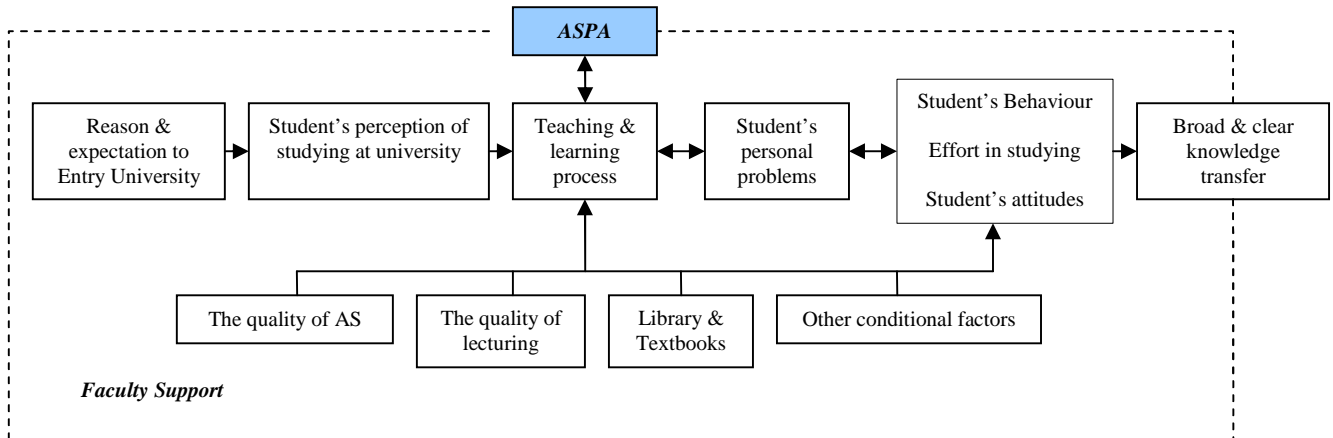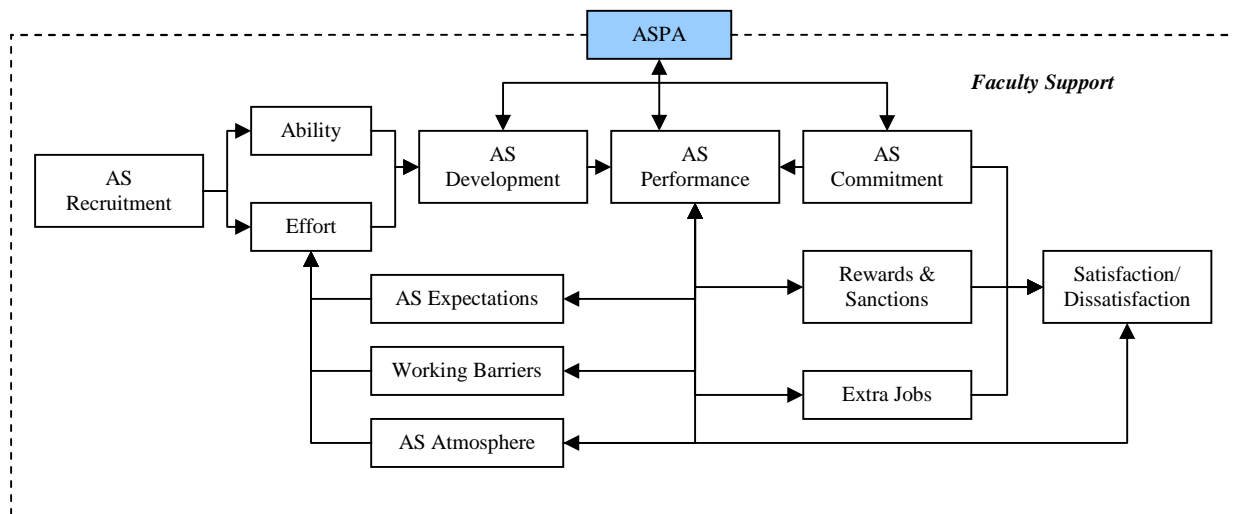
Do we need ASPA?

No! ◄—— *Yes*!

- To improve organisational performance
- To improve the quality of AS
- To improve AS performance
- To improve current ASPA
- To improve AS commitment *& motivation*

Implement ASPA

What is your perception of current ASPA?

It is good! ◄—— *ASPA purposes aren't achieved yet!*

- Problems in implementation of ASPA
- ASPA has weaknesses
- Poor AS Performance

AS attitude toward PA

Don't care! ◄—— *Concern about ASPA!*

Do you have any recommendations for the effectiveness ASPA implementation?

No idea! ◄—— *Yes!*

- *Key person:* faculty leader
- Enlighten faculty roles
- Preparation for implementing ASPA
  - Management preparation
  - Operational preparation
  - Supporting system preparation
  - AS development programs
- Suitable ASPA execution
- AS performance improvement programs
- Improving working condition & Academic atmosphere

Is there any cultural influence in implementing ASPA?

No! ◄—— *Yes!*

Do you find any major obstacles that may impede the implementation of ASPA?

Yes! ——► *No Obstacle!*

- The absence of autonomy
- Inadequate government rules to support ASPA
- Insufficient AS recruitment system
- Unclear organisational structure of faculty
- Leadership problems
- Lack of qualified faculty leaders
- Lack of seniors' roled
- Improper academic atmosphere
- Problems toward personal interest & preferences between AS and students

Do you think current ASPA effective to achieve both AS and faculty goals?

Yes! ——► *No!*

- Poor AS individual achievement
- Lack of institutional achievement
- Poor working condition

- Familialism, debt of honour toward ratee, & risk avoider
- Sungkan & segan toward seniors
- Critiques are considered rude, impolite, arrogant, irritate people & show lack of respect

- Better to not be 'too vocal or criticise' to avoid conflict
- 'Silence is golden' to save your career at campus/your study
- Tend to please everybody/lecturer
- Lecturer is always right

Note: ASPA= Academic Staff Performance Appraisal, AS= Academic Staff

Figure 3

The Relationship of Academic Staff Performance Appraisal to Factors that Influence the Process of Student Studying at University

Figure 4

The Relationship of Academic Staff Performance Appraisal to Factors that Influence the Academic Staff Performance

V. Conclusion

Findings the research shows that both academic staff and faculty leaders agree that current academic staff performance appraisal is not effective in achieving individual or institutional goals. Academic staff and faculty leaders argue that performance appraisal for academic staff is not yet effective in achieving academic staff individual goals because their performance appraisal make a poor contribution to academic staff achievement, because it provides poor feedback, lacks recognition for academic staff achievement, provides poor reward (incentives) for good performance and lacks sanctions for poor performance. Moreover, lack of support for academic staff educational development programs and poor guidance and counselling from seniors are among serious problems faced by academic staff in the faculty.

Institutionally, academic staff performance appraisal is not yet effective in achieving faculty goals, due to of several problems, for instance, poor commitment from faculty leaders, lack of faculty support to implement academic staff performance appraisal, poor faculty leadership and lack of qualified faculty leaders, lack of qualified academic staff, poor support for academic staff performance development, and lack of faculty senate and seniors support for the faculty.

However, in these research findings there is also evidence of an optimistic view, where some academic staff seem to work optimally without any negative impact from the current performance appraisal. They are categorised as idealists who work with strong commitment towards jobs, have strong self discipline, eager for achievement and improvement, independent, and work hard for what their desires. This phenomenon might be explained by academic staff personal reasons for becoming academic staff as expressed by academic staff, in this research. Some academic staff mentioned that they wanted to become an academic staff member because of intrinsic motivation such as acquisition of knowledge, a love of teaching and research activities. These academic staff tend to become idealists.

This research is limited to qualitative case study research focused on primarily on a faculty of one university in Indonesia which is currently in the introduction stage of academic staff performance appraisal implementation. Therefore, it could be very valuable to conduct similar research by using broader case studies and similar methodology, since the level and focus of academic staff performance appraisal implementation could be different in each faculty or university in Indonesia or in other similar university in other countries.

Moreover, the qualitative case study method was used in this research in order to construct and to build a theory. It would be valuable to use a quantitative method to confirm the findings and build on this research in further investigation in Indonesia or other similar faculties or universities in other countries.

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