“OASIS”: A Comprehensive Approach to Performance Management with Focus on Knowledge Workers – A Case Study

THESIS

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OBEROI AJAY OMPRAKASH

Under the Supervision

of Dr. C Satyanarayana (Dec 09 – 11);

Dr. JyotsnaDhuru (2005 – 09)

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CERTIFICATE

This is to certify that the thesis entitled "OASIS": A Comprehensive Approach to Performance Management with Focus on Knowledge Workers – A Case Study" which is submitted by Oberoi Ajay Omprakash, ID No.: 2004PHXF409 for award of Ph.D. Degree of the Institute, embodies original work done by him under my supervision.

Signature in full of the Supervisor: _____

Name in capital block Letters: Dr. C. SATYANARAYANA

Designation: Director, Sinhgad Institute of BusinessAdministration & Computer Application

Date: 30th Nov 2011

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ABSTRACT OF THE RESEARCH WORK

Performance Management (PM) is useful at three levels viz. organizational, line manager, and individual level. At organization level it helps in aligning objectives, underpinning core values, supporting cultural change, developing learning organization, retaining and developing talent. Line managers use PM for clarifying expected performance and behavior, differentiating, planning developmental needs, deciding reward and growth etc. for team members. Employees use it for getting role clarity, knowing contribution to organization, and direction to perform better.

Over the period Performance Appraisal Systems (PAS) have matured from narrative confidential report to 360 degree assessment. Different ways that got developed for appraisal can be categorized as 1) Objective Assessment i.e. measuring results; 2) Subjective Impressions i.e. measuring traits and potential; 3) Sharing i.e. 360 degree assessment. Last decade has seen increasing use of Balance Score Card (BSC), Management by Objectives, Assessment Centers, and Human Asset Accounting Method for appraisals coupled with Forced Distribution to ensure differentiation amongst job holders in knowledge economy. In application, performance appraisal (PA) focus has shifted from hourly-paid workers to technical, professional and managerial employees. Findings from literature beyond doubts establish that final part of performance management system (PMS) cycle i.e. PAis critical to PM, and PAS are ridden by many shortcomings in their conceptualization, process design, and implementation leading to suboptimal acceptance by employees. Observationsof more than three decade of industry exposure in different capacities by investigator affirm that all good intentions with which the PMS are introduced in the organizations get marginalized due to pitfalls in designing and implementing the system. As a result it becomes a cause of demotivation and talent attrition rather than a motivation & retention tool.The problems are more glaring in case of knowledge workers (KW) in old and new economy alike who resist forced normalization and demand rational explanation for every decision. Amateur managers (line and HR alike) find themselves wanting in dexterity to handle these situations in absence of comprehensive knowledge and support system.

With economy having taken shift towards knowledge economy world over, the way work is done has undergone a sea change and dominance of KW is established beyond any doubts. Knowledge workers have high abstract reasoning and cognitive ability coupled with high level of skills/education, and technological literacy. Their skills include ability to observe, synthesize & interpret data, and communicate new perspectives & insights for the organization. KWs are in search of fulfillment. Their Motivation factors are challenging work; autonomy and latitude in work environment, planning, execution, and coordination; Learning & Development; Recognition and Reward; Relationship with other departments in the organization; etc. There is a vast differentiation in the level and specialization of KWs. Most high-end KWs, tend to work on unique, one-off, highly specialized problems, making it impossible to have one measure for all such KWs. Factors that make measuring work done by KWs difficult are unique job characteristics; need to acquire and synthesize knowledge; permeable work / travel /home boundaries; time spent on communicating.KWs, the key costly perishable asset of knowledge economy are integral part of the economic growth. They need to be given due importance in arriving at management practices. More so when it comes to human resource management (HRM) practices specifically PM of individuals / groups involving KW.

While performance is sum total of results and behaviors (what and how), PA systems in vogue address either results or behaviors. No evidence of measuring comprehensive performance (what & how) is found in literature studied.Further, it is observed that most of the organizations with good PMS practices use appraisal methods to assess achievement against targets; behavior, traits, and potential; and 360 degree feedback. However, all three are treated as three different processes / verticals and never a comprehensive result based on all three is attempted to overall rank the employees. Effectiveness of PMS in vogue and employee satisfaction level with it is questionable.

In view of above this study has attempted to come out with a comprehensive model to overcome the pitfalls. The new PA model “OASIS” is designed, developed, and empirically tested. “OASIS” a tool for PA is combination of Objective Assessment (OA), Subjective Impression (SI), and Sharing (S). “OASIS” Model combines all three appraisal methods to arrive at an OASIS Number that is used to rank the employees that

is used to arrive at percentile performance groups more objectively and transparently rather than force fitting employees on bell curve. This exploratory and descriptive research comprises of Literature Review; PMS Inventory Survey; Suggesting a comprehensive model and empirically testing its acceptance and validity through focused discussions with experts from academia, consultancy and industry practitioners; and a case study at Aptech Ltd.

Findings of PMS inventory survey (139 KW from 17 organizations from knowledge economy) confirms that a) almost all organizations have some form of PMS; b) practices of 1) assigning overall performance rating, 2) giving feedback at the end of PA, 3) use of forced normalization in some form to assign overall rating, 4) defining training needs without any assessment tool are quite in vogue as 99%, 91%, 80%, and 7% respondents respectively confirmed existence of formal PMS; practice of assigning overall rating; receiving feedback and use of forced normalization in some form for assigning overall rating; and use of an assessment tool to arrive at training needs in their organization.

PMS Inventory survey reaffirms questionable acceptance and effectiveness of systems in vogue as 46% respondents agree that PM is bureaucratic chore, 43% agree that PM is a deadly disease, and 22% agree that it distracts from more important activities. Only 37% respondents agree that it helps in improving overall performance to a great extent and only 36% are satisfied.

PMS Inventory survey confirms that KW resist forced normalization as 48% respondents find forced normalization difficult / uncomfortable to face, 42% consider it a cause of failure of PMS, and only 32% respondents agree that forced normalization is liked by employees. 45% respondents say inability to give constructive feedback is cause of PMS failure.

PMS Inventory survey confirms that all aspects of performance i.e. what and how are not assessed as 97% respondents confirm assessment of results achieved whereas only 19% confirm assessment of behaviors observed. Only 36% respondents confirmed peer views taken, 25% confirmed subordinate views taken and 18% confirmed existence of 360 degree assessment.

In order to empirically test acceptability of “OASIS” Model, focused discussions with 33 experts chosen from academicians, consultants, and industry practitioners were undertaken. Findings of these focused discussions indicate very high acceptance of 1)need for comprehensive model for PA of knowledge workers; 2) proposed model “OASIS”; 3) method for arriving at comprehensive key result areas (KRA), objectively assessing potential and traits; and Integrity; 4) technique of calculating Target Achievement Ratio (TAR), Overall Competence Ratio (OCN), Integrity Factor, Sharing Factor, and OASIS Number for comprehensive PA of KW as a) 91% of experts agreed for the need to develop comprehensive model for assessing performance of KW; b) 97% agree with method of calculating OASIS Number that represent comprehensive performance and is used for ranking employees in work group c) 100% agree with the suggested method under “OASIS” model to arrive at comprehensive KRA and calculating OCN; 97% agree with suggested method to measure potential and traits objectively, calculating TAR and Sharing factor; and 94% agree with suggested template to arrive at Integrity factor.

Experts’ viewson “OASIS” Model suggest it is an impacting model that is well conceived, innovative, wonderful, progressive, holistic, integrated, transparent, and practical with fair chance to succeed. “OASIS” model delves on the anatomy of the performance management process, brings together almost all parts of performance. It will helpaligning company and individual goals, reduce biases by lowering softer aspects currently prevalent in the PMS, developall aspects of human capital and reduce employee dissatisfaction with PMS in vogue.

A case study to empirically validate “OASIS” model was conducted with 69 employees form four departments of Aptech Ltd. The findings of the study reveals 1) vast difference between expected standard deviation (1.21, 1.21, 1.08, 1.16 respectively for four test groups) for desired number of employees in predefined performance groups (PGs) v/s standard deviation (0.79, 0.93, 0.42, 0.69 respectively) for actual number of employees in predefined PGs indicate inadequate / inappropriate performance differentiation under legacy system; 2) suboptimal correlation factor (0.208, 0.393, 0.415, 0.539 respectively for four test groups) between PGs based on KRA rating v/s PGs based on normalized

rating under legacy system indicate application of high degree of subjective judgment by assessors / reviewers while normalizationleading to high degree of variance between actual assessment and final normalized rating; 3) low correlation factor (0.416, 0.356, 0.379, 0.417 respectively for four test groups) between PGs based on normalized ratings under legacy system and PGs based on OASIS Ranking indicate high degree of value addition done by overall performance assessment done through “OASIS” model. This is also supported by departmental heads views; 4) correlation factor of a) 0.768, 0.845, 0.563, 0.740 between PGs based on OASIS Number and TAR; b) 0.682, 0.545, 0.553, 0.708 between PGs based on OASIS Number and OCN; c) 0.864, 0.612, 0.747, 0.639 between PGs based on OASIS Number and Integrity Factor; d) 0.606, -0.186, 0.039, 0.583 between PGs based on OASIS Number and Sharing Factor indicate value addition by each element of “OASIS” in arriving at overall performance. Thevast variation in correlation factors of four test groups given at point 4, could be because of different assessors and their approach to PA and team dynamics within the teams.

On the whole departmental heads’ views on outcome of “OASIS” indicate that “OASIS” model has been able to give very comprehensive and objective views of performance. Each element of “OASIS” output i.e. percentile performance group; Training Need Analysis; Ability to Perform, Potential to Grow, Ability to Change factors, Overall Competence Number, Integrity Factor and Sharing factor have been found quite appropriate and useful in employees’ overall appraisal. Additional time spent during appraisal period under “OASIS” will be more than compensated by savings in time for forced normalization process and its consequences. Assessors and reviewers will find themselves quite comfortable while discussing / counseling employees and handling grievances with the help of “OASIS” output reports.

Based on above it is concluded that “OASIS” Model for comprehensive assessment for knowledge workers is quite relevant, acceptable, practical, objective, value adding and future way for performance appraisal of knowledge workers.“OASIS” Model will be useful in addressing shortcomings like measuring only results, forced normalization, high degree of subjectivity while commenting on overall performance and training needs of PMS in vogue for KW.

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A: Performance Groups based on KRA rating

ACC: Associated Cement Companies Ltd

ACR: Annual Confidential Report

ADA: Anil DhirubhaiAmbani

B: Performance Groups based on Forced Normalized Rating

B.Com.: Bachelor of Commerce

BARS: Behaviorally Anchored Rating Scales

BE: Bachelor of Engineering

BITS: Birla Institute of Technology and Science

BOS: Behavioral Observation Scale

C: KRA Rating

CEO: Chief Executive Officer

CII: confederation of Indian Industry

CRM: Customer Relationship Management

D: OASIS Number

DFM: Diploma in Financial Management

DGM: Deputy General Manager

DLFKP: Developing Leadership through Feedback from Known People

Dr.: Doctor

E: Performance Groups based on “OASIS” Rank

e.g.: For Example

ERM: Enterprise Resource Management

et al.: And Others

etc.: Etcetera

F: Performance Groups based on Target Achievement Ratio (TAR)

FDS: Forced Distribution System

FICCI: Federation of Indian Chambers of Commerce and Industry

G: Performance Groups based on Overall Competence Number (OCN)

GE: General Electric Company

GRS: Graphic Rating Scale

H: Performance Groups based on Integrity Factor (I factor)

HBR: Harvard Business Review

HR: Human Resource

HRD: Human Resource Development

HRM: Human Resource Management

HSBC: Hongkong and Shanghai Banking Corporation Limited

I: Integrity

i.e.: That is

ID: Employee Identification Number

IIM: Indian Institute of Management

IIT: Indian Institute of Technology

IRS: Industrial Relations Services

ISO: International Standards Organization

IT: Information Technology

ITES: Information Technology Enabled Services

ITM: Institute of Technology and Management

J: Performance Groups based on Sharing Factor (S Factor)

JBIMS: Jamnalal Bajaj Institute of Management Studies

KPIs: Key Performance Indicators

KRA: Key Result Area

KRAs: Key Result Areas

KW: Knowledge Worker

KWs: Knowledge Workers

Lab: Laboratory

Ltd.: Limited

M&A: Merger and Acquisition

M.A.: Master of Arts

M.M.S.: Master of Management Studies

M.Phil.: Master of Philosophy

MBO: Management by Objective

MD: Managing Director

MI: Measuring Index

N: Number of Respondents

NELCO: Nelco Ltd.

NIIT: NIIT Ltd.

No. / no.: Number

NTPI: National Power Training Institute

NTPC: National Thermal Power Corporation

OA: Objective Assessment

OASIS: Objective Assessment + Subjective Impression + Sharing

OD: Organization Development

P&T: Potential and Traits

PA: Performance Appraisal

PAS" Performance Appraisal System

PG: Performance Group

PGs: Performance Groups

Ph.D.: Doctor of Philosophy

PIMSR: Pillai Institute of Management Studies and Research

PM: Performance Management

PMDS: Performance Management and Development System

PMS: Performance Management System

PPPI: Performance Planning and Performance Improvement

Prof.: Professor

Pvt.: Private

RPM: Relative Performance Management

S: Sharing

SD: Standard Deviation

SHRM: Society of Human Resource Management

SI: Subjective Impression

SMART: Specific, Measurable, And Realistic, Time bound

TISS: Tata Institute of Social Sciences

U.S.: United States of America

v/s: versus

Vol.: Volume

VP: Vice President

XISS: Xavier Institute of Social Service

&: And

Chapter I INTRODUCTION

I.1 Performance Management

“Performance Management” originated in the laboratory findings by James B. Watson. B. F. Skinner and others expanded it to focus exclusively on operant rather than classical conditioning. The principles that are central to Performance Management (PM) are derived from the science of behavior analysis (also known as the psychology of learning) concludes Sangeeta [1] in her study.

As per Armstrong [2], performance is the sum total of behavior and results, and cannot be viewed as independent of either component. Performance Management is a technology (i.e. science imbedded in applications methods) for managing behavior and results.

In the context of Human Resources, performance management refers to the ongoing process of setting goals, self-assessment, manager assessment, peer-assessment, coaching, development planning, and evaluation. According to Sangeeta [1] Performance Management has two forms 1) competitive assessment (where employees are rigorously compared against each other, and 2) coaching development (where employees are evaluated against their own goals and capabilities).

Performance management is an ongoing, continuous process of communicating and clarifying job responsibilities, priorities, performance expectations, and documenting, evaluating and discussing performance with each employee in order to ensure mutual understanding between supervisor and employee. It is a philosophy which values and encourages employee development through frequent feedback and fostering teamwork. It emphasizes communication and focuses on adding value to the organization by promoting improved job performance and encouraging skill development.

As per Jeremy Webster [3] at organizational level PM is useful for aligning corporate, team and individual objectives, underpin the core values, support cultural change, retain and develop talent, and develop learning organization through continuously identifying improvement opportunities. For Line managers PM is useful for clarifying expected

performance and behavior to team members, provide basis for differentiation in performance level of individual employees through an objective and fair assessing processes. It also helps in planning developmental needs of the team and basis for financial and non financial rewards, maintaining transparency in employee growth related decisions. For individual employee PM is useful in getting clarity of role, objectives and contribution to the organization, and direction to perform better.

PM is often confused with Performance Appraisal, the latter only forming the final part of the performance management cycle. Performance appraisal is a backwards looking process. As per Douglas [4], goals of performance appraisals are

1 To provide systematic judgments to back up salary increase, promotions, transfers and sometimes demotions and terminations
2 A means of sharing with a subordinate 1) how is he doing, 2) desired changes in his behavior, attitude, skills or job knowledge, and 3) where he stands with the boss
3 A basis for coaching and counseling of the individual by the superior

In 2005, Dick Grote [5] added "Ethical Responsibility" to above three goals. Ethical Responsibility to answer two questions every employee wants to know i.e. what is expected of him / her? And how he / she is doing at meeting expectations?

Appraisal systems have been around since the industrial revolution when they were used to measure the production of a workforce. There were clear definable objectives, produce and widgets by Friday. Objectives were by default SMART (Specific, Measurable, and Realistic goals that were possible to Achieve and had a Time limit) and very much tied to reward as the salary was linked to weekly production.

I.2 Performance Management system

According to Avery [6] primarily, objective driven performance management system is in vogue. This is mainly due to work conducted in the 1950's and 1960's around the area of objectives. Research was done into the effectiveness of objectives on individual performance and it was found that there were higher chances of better performance if individuals were allowed to set Specific, Measurable, and Realistic goals that are possible

to Achieve and had a Time limit imposed than being given less defined sets of objectives. Most of the work was done in the psychology lab and involved highly motivated research students. As many other variables that could influence performance were not covered during the study, though the results have been validated in real life the results are not as clear cut as were originally thought.

Though PMS existed in different forms even five decades ago, but quite a few conceptual and operational developments have occurred in last two decades. Over the period appraisal systems have matured from narrative (essay type) confidential report, to results delivered; critical incidence analysis; analysis of pre-defined goals v/s results; evaluation against job standards; behaviorally anchored rating scales (BARS); assessment against accountabilities; rank comparison; and 360 degree assessment. Last decade has seen increasing utilization of Balance Score Card concept and tools for measuring potential and traits to measure monitor and direct performance and development of individuals involved.

Different ways that got developed for PM can be categorized as 1) Objective Assessment i.e. measuring achievement against preset targets; 2) Subjective Impressions i.e. senior's impression about traits and potential of assessee; 3) Sharing i.e. knowing about abilities and ways of doing the job from larger set of people with whom the assessee interacts during his / her work generally known as 360 degree assessment.

I.3 Developments in the last decade

Like all systems and processes PMS has significantly evolved in the last decade. The last decade would specifically denote the period 2000-2010. The evolving PMS can be seen from the perspective of emerging trends, terminology used and evaluation process including methods, techniques and tools for appraising performancefrom the Indian context and knowledge workers.

In essence Performance management system is a step-by-step process where the management finds out how effective it has been at hiring and placing its people. Heyel [7] affirmation: "process of evaluating performance in terms of requirements of the job

for which he is employed, for purposes of administration including placement, selection for promotions and providing financial rewards.

(a) Traditional Appraisal System:

Typical Appraisal system covers 1) personal background (age, family background, marital status, education, specialization and degrees, work history and accomplishments, professional membership, recreational activities and special limitations); 2) Nature of work (job analysis data, number of people supervised; 3) Job performance and personal qualification (technical performance, motivation in current position, intelligence as demonstrated on the job, ability to learn new techniques, emotional stability, leadership skills; 4) overall performance rating (results and potential); and 6) recommended action (knowledge, skills and changes in assignment).

(b) Newer Appraisal System:

1. Appraisal by Results or Management by Objectives was evolved by Peter Drucker [8]. The suggested process of supervisors and subordinates jointly identifying its common goals, defining each individual's major areas of responsibility and expected results and use of these measures as guides is quite appreciable. Strengths of MBO are setting organizational goals, joint goal setting, performance reviews, setting checkposts and feedback. As a performance tool MBO increases employee motivation, instills internal competition amongst managers and helps develop personal leadership. This results in a means ends chain, reduces role conflict and ambiguity, better and early problem identification. Though widely accepted as a superior method to the traditional systems MBO takes a great deal of time, energy and form.

2. Assessment Centre: Assessment Centers have emerged in India in a big way. Famous for its job-related simulations that involve characteristics that managers feel are important to the job success. Experts observe and evaluate performance in several situations with the use of a variety of criteria / tools. Assessments are made to determine employee potential for purposes of promotion. Situation exercises like in-basket exercise, business game, role playing incident and leadership group discussion, etc. are used. Ratings are done individually and collectively by experts. Assessment Centre is highly

appreciated for its purpose and procedure. The only problem is that element of subjectivity could dilute the entire process and outcome.

3. 360 Degree Performance Appraisal: Performance appraisal by all stakeholders such as seniors, peers, subordinates, customers and suppliers. Widely and openly embraced by Indian Companies specially those in the IT sector the unique aspect of 360 Degree appraisal is that appraisal can be made by any person who has thorough knowledge about the job or standards of work done and one who can observe the employee while performing a job.

4. Human Asset Accounting Method: Not too widely accepted in India so far concludes K Aswathappa [9] and Suba Rao [10]. The system involves attaching money estimates to the value of the internal human organization and its external customer goodwill. The human organization is worthless if high quality people leave and if distrust and conflict prevails. If teamwork and high morale prevails and if high quality people join, the human organization is a very valuable asset. The variables such as loyalties, motivation, attitudes, communication and decision-making reflect the internal state and health of an organization. Human resource accounting method tries to find the relative worth of Human resources assets in the terms of money. In this method the performance of the employees is judged in terms of cost and contribution of the employees. The cost of employees include all the expenses incurred on them like their compensation, recruitment and selection costs, induction and training costs etc whereas their contribution includes the total value added (in monetary terms). The difference between the cost and the contribution will be the performance of the employees. Ideally, the contribution of the employees should be greater than the cost incurred on them.

5. Behaviorally anchored rating scales (BARS): New and recently developed procedure involves five steps viz 1) Generating critical incidents, 2) Developing performance dimensions in clusters, 3) Reallocate incidents, 4) Scale of incidents and 5) Develop final instruments.

(c) Terminology Trends:

Not only has the PMS evolved in the last decade, even the terminology used have evolved. In the last decade in line with terminology, purpose, application, factors rated, techniques and post appraisal interview too have changed. From determining the qualifications for wage increase, promotion and lay-off the emphasis has moved to development of the individual, improved performance on the job and providing emotional security. From application of hourly-paid workers the focus has shifted to technical, professional and managerial employees. From emphasis on personal traits the shift is now on results, accomplishments and performance. As far as techniques is concerned shift is from giving targets, rating scales, statistical manipulation of data for comparison purposes to mutual goal-setting, critical incidents, group appraisal, performance standards and less quantitative practices. Even in the post-appraisal interview shift is from supervisors communicating ratings to employees and tries to sell his evaluation to him to supervisors stimulating employee to analyze himself and set own objectives in line with job requirements. The hard reality today is that the same supervisor is helper and counselor.

(d) Methods, Techniques or Tools Trends:

In PMS methods and techniques differ. From Traditional concepts – Straight ranking method, Man to Man comparison method, Grading, Graphic Rating Scales, Forced Choice, Description Method, Forced Distribution Method, Check Lists, Free form Essay Method, Critical Incidents, Group Appraisal and Field Review Method to Modern concepts – Assessment centre, Appraisal by results, Human asset accounting method and Behaviorally anchored rating scales. Differences are not only in methods and techniques but also in scales viz 1) they differ in the sources of traits or qualities to be appraised; 2) they differ because of the kind of employees who are rated; 3) variance in degree of precision attempted in an evaluation; 4) difference in methods used to obtain weightage for various traits.

The greatest challenges all these years have been on who, what, why, when, how, and ofcourse the where of appreciation. On similar count, the significant factors that

adversely affect objective evaluation are – the halo effect, leniency or strictness, central tendency and personal bias.

The continuous challenge is how to improve appraisal techniques and make them successful. In order to emphasis that ethics of appraisal is quite significant, Cinthia [11] quotes M.S Kellog, according to whom ethical standards are most certain to be met if appraisals include facts on which it is based, time period covered, purpose of appraisal, situational factors that throw light on the facts presented, nature of working relationship between the appraiser and the appraisee, and details of how and where the facts were obtained. Cinthia [11] further cites Edward Deming's views that are opposed to employee assessment. Deming observed that appraisal systems reward people for manipulating the system rather than improving it and hence it is often self-defeating. He adds that employee assessment is inconsistent with teamwork and inherently unfair. Edward Deming suggests meticulous selection of leaders, educating workers about their obligations and improved training and education after selection, getting leaders to function as colleagues rather than as judges and ensure that subordinate performance is assessed using statistical data instead of performance appraisal.

I.4 Shortcomings of current practices

Shortcomings of PM practices emanate from the process design to implementation to acceptance by assessees. Allbusiness [12] report categorizes factors affecting PM into system design, implementation, knowledge & training; and Avery [6] adds effort – output correlation.

- **System Design:** Most often knowledge of behaviors is overlooked while designing systems, processes, and procedures for compensation, appraisal, selection, retention, competencies. Systems, processes, and procedures often suppress the ways in which motivational factors can be built into the workplace to accelerate performance for the right objectives, done the right way, for the right reason.

- **System Implementation**: organizations are struggling to find an effective way to implement PM at individual level due to number driven parameters or reporting what

is achieved, without systematic linkage between what and how. Even today counseling and performance feedback even at preferred organizations is driven by Convenience to “Oh it is over” syndrome.

- **Knowledge & Training**: Managers don’t know how to assess and don’t receive adequate training on how to carry out a productive review. An untrained evaluator may have difficulty in gauging work 1) that does not produce measurable results; 2) where members work in a team.

- **Effort – Output Correlation**: In today’s service economy there is no direct connection between service delivery and effort required to produce it. Thus the connection of objectives to production is little bizarre.

I.5 Performance Management and Development System

In order to understand Performance Management & Development, one need to understand each term i.e. performance, Management, and Development. Views of various authors on these terms are given in Literature Review. Based on various views and own understanding, definition of each term is given below.

Performance: is combination of behavior and results i.e. what and how.

Management: is effective way of planning, organizing, developing and utilizing resources to get desired output / results.

Development: is planned improvement in employee’s performance capabilities through organizational / individual interventions.

Performance Management & Development: isa process of managing and developing work environment that ensures achievement of pre-defined outcomes and behaviors (in line with organizational objectives) through developing organization, team, and individual competencies & capabilities.

Performance Management and Development process is widely used in businesses and is firmly established as middle-aged management technique. Performance Management & Development is the process of setting performance expectations, monitoring progress toward achieving predetermined goals, measuring results, rewarding or correcting employee performance including plans for employee development. It is one of the categories of network management defined by the ISO.

In spirit Performance Management System (PMS) as defined by most of the authors / researchers is the same as Performance Management and Development System (PMDS).

PMS a key element of human resource management practices, has received attention of many authors / researchers like UdaiPareek, T V Rao, Armstrong Michael, Peter F Drucker, Shrinivas R. Kandula, Steffen B. Nielson, Roger Steve, Marshall W. Mayor, Miachel J., Richard D. , Weiss. T. B, Edward E. , Agarwal, Daniel C. , Spencer, Goffin, Berry, Jackson, Weiss T.B, Denis and many more. Over the period, it has retained its center stage importance in terms of need and criticism and has evolved in its approach from Performance Review to Appraisal to Management to Development system. It has gained prominence in recent years as means of providing a more integrated and continuous approach to the management of performance than was provided by previous isolated and often inadequate merit rating or performance appraisal systems. Over the years it has matured from measuring the output delivered – to defining expectations of desired results – to monitoring and reviewing delivered results v/s expectations set – to managing the human resources to get expected results – to developing human resource competencies to ensure expected results.

I.6 Knowledge Workers

Knowledge According to Raju [3], knowledge is a framework for evaluating and incorporating experiences and information. It is framed experiences, values, contextual information and expert insight. Knowledge can be categorized as implicit and explicit knowledge. Explicit knowledge is codified information that can be transferred from one individual to another through a formal communication system. Implicit / Tacit knowledge is not easily transferable as it cannot be communicated through a formal communication

channel or according to an individual's 'mental model'. Before dawn of knowledge era, knowledge was more academic and cognitive in nature. Knowledge in the context of knowledge economy is application-oriented. This implies that knowledge has shifted from its ivory tower existence and is generated contextually for products and services that have commercial implication. Nelson [14] cites Drucker to emphasize importance of person in knowledge society. Knowledge Society puts the person in the centre as knowledge is always embodied in a person; carried by a person; created, augmented, or improved by a person; applied by a person; taught and passed on by a person; used or misused by a person. Sajeva [15] puts it lucidly "organizations cannot generate knowledge without individuals".

The term "K**nowledge Worker**" was coined by Peter Drucker in 1959to describe someone who adds value by processing existing information to create new information which could be used to define and solve problems. According to Drucker [8] anyone who develops or uses knowledge as a work for living is a knowledge worker. Thus, a knowledge workers' work involves tasks such as planning, acquiring, searching, analyzing, organizing, storing, programming, distributing, and marketing. Knowledge workers contribute to the transformation and commerce of information and also use the knowledge so produced while at work. Knowledge workers include those in the information technology fields such as programmers, systems analysts, technical writers, or in academia such as teachers, researchers, scientists, or professionals like lawyers, doctors, diplomats, bankers etc.

Two categories of knowledge workers as defined by Drucker [8] are 1) core knowledge workers; 2) everyone else.

- Core knowledge workers are those in specific 'knowledge management' roles. e.g. Chief Information officer; Information Officers; Knowledge Managers; Content Managers; Librarians; etc.
- Everyone else' includes everyone engaged in some form of 'knowledge work' e.g. doctors, nurses, pharmacists, managers, technicians, administrators, etc.

Sajeva [15] cites Horwitz, Heng, Quazi to explain knowledge workers' skills. According to them, knowledge workers have high abstract reasoning and cognitive ability coupled with high level of skills/education, and technological literacy. Thus their skills include ability to observe, synthesize and interpret data, and communicate new perspectives and insights that may lead to more effective decisions, processes and solutions for the organization.

According to Raju [13], knowledge workers demand greater autonomy and latitude in their work environment. Knowledge workers are required to work from remote sites and clients' premises. They themselves are the most appropriate people to decide how to plan, execute and coordinate their major tasks.

Karen [16] summarizes motivational factor for knowledge workers Learning & Development; Recognition and Reward; Salary; Organizational Culture; Relationship with other departments in the organization; Empowerment and Freedom to manage own time. They do not like to be bound by work principles defined for efficient organization of manual labor. Drucker [8] adds, knowledge workers are in search of fulfillment and believe that they are paid for being effective instead for some specified work hours say 9 to 5. They need challenge. For more details on knowledge workers refer section III.14: Knowledge Workers – Definitions, Characteristics and Motivation.

Knowledge workers are required to work collaboratively and learn from each other and their own mistakes. They take risks. Their unique job characteristics don't easily lend themselves to measurement. Most high-end knowledge workers, tend to work on unique, one-off, highly specialized problems, making it impossible to have one measure for all such knowledge workers. For example

- Should output of a teacher (a knowledge worker) be assessed by number of hours taught or number of students taught or degree of improvement in students taught? Further, if you pick seemingly most appropriate "degree of improvement in students taught" then issue at hand will be how to address varied attitude, ability & willingness of students being taught.

- Should output of a software developer (a knowledge worker) be measured by number of lines of code produced or the quality of the finished product? Now, if you pickup quality of finished product, how would you address relative quality of products by other developers as most of developers would be producing different programs.

- Should performance of a salesman (knowledge worker) be judged based upon the number of calls made or sales achieved? Pick sales achieved as a parameter and one will have to grapple with the issue of varied difficulty level based on purchaser's nature, product quality, market conditions etc. And how does one account for degree of relationship between the salesman and the customer.

- Similarly one would practically reach a dead end while attempting to measure the quality of material produced by a marketing professional (knowledge worker). Moreover, many knowledge workers like film producers and advertising executives, work interdependently, making it difficult to isolate one knowledge worker's contribution from another's. Susan [17] concludes that the work performed by knowledge worker is generally unobservable, a knowledge worker could be working for months, or sometimes even years, before an output is tangibly realized.

Thomas [18] concludes that it is difficult to measure job done by knowledge workers as they need to acquire and synthesize knowledge; have permeable work / travel /home boundaries; and spend a lot of time communicating. According to him, knowledge workers should not be told what to do lightly.

Klara [14] concludes that today's increasing global competition and demand of knowledge workers coupled with changing demographics accelerates knowledge workers' exit. He cites DeLong; Frank, Finnegan, & Taylor; Jamrog; Ready & Conger; Somaya& Williamson to conclude that retaining employees whose knowledge has high competitive value is becoming a critical and well-recognized challenge.

I.7 Future challenges

Sectarian economic growth and individual productivity data indicates that world over the economy has shifted towards knowledge economy. The way work was done earlier and being done now has undergone drastic change due to fast adaptation of Information Technology in last three decades. The changes are 1) Due to rapid adaptation of IT more information can be coded digitally and easily transmitted over long distance at low cost; 2) Production is increasingly in the form of intangibles, based on the exploitation of ideas rather than material things. It is era of the “weightless” or “dematerialized” economy as production has shifted from heavy metals and materials to microprocessors, fine fiber-optic cables and transistors; 3) services have increased their share of total, output has become less visible [19]. Indian economy is following no different pattern. Over the years it has moved from agriculture to production to IT & services dominant economy.

All this has brought in a significant change in the required qualities of the workers. Shift is from shear physical power to manual skills to ability to operate and maintain machines to finally knowledge utilization. Ability to understand and use knowledge, Communication, Change management, Adaptability, Customer Orientation and Learnability are critical skill for knowledge economy. Knowledge workers as they are known as have now become the integral part of the economic growth and hence need to be given due importance in arriving at management practices. More so when it comes to HR practices specifically performance management of individuals / groups

Chapter II BACKGROUND OF THE STUDY

II.1 Origin of the Study

Fortune editor Walter Kiechel, once said, “Let’s be frank, most managers hate conducting performance appraisals. If they can, they will skip such potential unpleasantness entirely. If compelled, they tend to do so with bad grace, confusing the poor appraisee by mixing a kind of phony solicitousness with a candor that gives new meaning to the term, brutal”.

The late quality guru W. Edwards Deming [11] maintained that the annual performance review, as practiced in most companies leaves people bitter, dejected, depressed, and in despair for months.

Stuart Avery [6] writes that performance appraisals have been around for a very long and almost every organization has it. While some organizations swear by them, on the whole the average appraisal system fails to live up to the expectations of the organization and often cause more trouble than they are worth.

As per Dulewicz [12] most often performance management systems, processes, and procedures are designed without knowledge of behavior. The PMS processes and procedures fail to accelerate performance as they fail to build motivational factors at workplace for the right objectives, done the right way, for the right reason. In the absence of a carefully structured appraisal system, people will tend to judge the work performance of others, including subordinates, naturally, informally and arbitrarily. In absence of a structured appraisal system, it would be rather difficult to ensure lawful, fair, defensible and accurate performance judgment.

As per Tim Jackson [20] instead of measuring employee’s performance and pointing out where they fall short of, HR will achieve more results by finding ways to fine-tune and improve their appraisal systems.

According to Cynthia [11], performance appraisal a middle-aged management technique, it is yet to achieve a comfortable place in organizations. Thus by renovation of a

performance appraisal procedure an organization can be transformed from a best-effort environment to a result-driven climate.

More than three decades of practical observations while being intimately involved with performance Appraisal and Management Systems in different capacities in both old and knowledge economy support and reinforce above views expressed by researchers.

Genesis of this research work lies in one of the HR forums where as a speaker investigator observed that “each organization good or not so good profess that effective PMS is the root of transformation. Every organization boasts to have working PMS. However, at the end of performance appraisal cycle (main input provider to PMS), every organization faces employee discontent of varying degree. Employees at the end keep raising the question on the outcome of the system with varying degree of cynicism. It appears as if every employee is in search of an ‘oasis that very few and rarely find it. Further, it was observed that if a PAS can be developed that can guide the path to / provide ‘oasis’ to most of the employees, perhaps organization transformation and employee acceptance of PAS will attain a much higher level”.

It is also observedthat all good intentions with which the performance appraisal systems are introduced in the organizations get marginalized due to pitfalls in designing and implementing the system. As a result it becomes a cause of demotivation and talent attrition rather than a motivation & retention tool. The problems are more glaring in case of knowledge workers (in old and new economy alike) who resist forced normalization and demand rational explanation for every decision. Amateur managers (line and HR alike) find themselves wanting in dexterity to handle these situations in absence of comprehensive knowledge and support system.

Literature study reveals that various methods of performance appraisal used so far measure different aspects of performance and are used differently based on the need. Most of the organizations with good PAS use appraisal methods to assess achievement against targets, behavior, traits, and potential, and perception of people with whom employee interacts while performing duties. However, all these are treated as different processes / verticals and never a comprehensive result based on all is attempted to overall

rank the employees. On the contrary some have consciously kept them as independent activities. While performance is defined as sum total of behaviors and results, the systems developed / used by and large address effectively any one aspect behavior or results.

The above findings establish a strong need to revisit works done in PA arena and analyze its relevance in current environment that is dominated by knowledge workers.

From literature review, it is observed that till date no attempt is made to combine three approaches viz Objective Assessment (OA) – Results; Subjective Impressions (SI) – Behaviors; and Sharing (S) methods to arrive at a comprehensive model that could address some of the challenges faced in today's era viz. need to increase Objectivity of the process; Assist in differentiation; Provide modular structure for stepwise use for different performance levels, different work levels; and Assist identification of members who could be taken through assessment centers / development centers.

Hence, strong need is felt to study possibility of combining all three appraisal methods to arrive at a number that could be used to rank the employees. This rank would be used to define percentile performance groups that are more objective and transparent rather than force fitting employees on bell curve.

II.2 Purpose of the study

This study is undertaken to find answers to

1) Can a Performance Management System be developed that will provide
    a. Comprehensive information on results and behaviors
    b. Objective differentiation rather than force fit on bell curve
    c. Results that are easy & effective to refer and communicate
    d. Objective assessment of training & development needs
    e. Modular structure for stepwise use for different performance and work levels

2) Can the results of different assessment methods like objective assessments of results, subjective assessment of potential & traits and sharing by multi-rater methods be combined to arrive at better overall result
3) Can ranking / percentile system resolve knowledge workers' resentment on existing practice of rating followed by forced normalization

II.3 Objectives of the Study

Main objectives of the study under backdrop of the literature review are as under

1. Tobuild understanding of existing performance appraisal systems, their effectiveness and factors that affect appraisal.
2. To understand characteristics of knowledge workers, and challenges faced while assessing performance of Knowledge workers.
3. To build and ascertain acceptability and effectiveness of a comprehensive PA model that would provide overall rank and performance group through combination of objective assessment, subjective impression, and sharing.

II.4 Importance of the study

Operating environments of the businesses have become complex and different as compared to past. Knowledge economy is posing different challenges for management practices. Knowledge workers are the key element and costly, perishable asset of knowledge economy. There is a vast differentiation in the level and specialization of knowledge workers. By virtue of their intellect, knowledge workers are prone to find short cuts and take rules and regulations under their control in the name of empowerment / flexibility. Thus concept of "one size fitting all" does not work for knowledge workers.

It is essential that 1) Individual's deliverables are integrated to larger objectives of the company keeping in mind short and long term goals through lead and lag performance indicators 2) How and what parts of the job are given adequate importance rather than compromising one for the other; 3) Views of their peers, customers, subordinates, and seniors (other than their assessor & reviewer) with whom they deal are considered on their performance and value base.

A mathematical equation that could provide result considering above three factors to give overall rank of an individual knowledge worker could go a long way in handling dissatisfaction arising from rating followed by forced normalization systems in use. This could also overcome problem faced with most of the current performance management systems that comment upon & reward “here and now” performance or tend to be too subjective by commenting on performance of the knowledge workers without assigning relativity and objectivity.

Thus desired PMDS for knowledge workers should be able to objectively assess and comment upon both tangible (end deliverables) and intangible (ideas, judgments, values etc.) out comes. The system should be able to find bad part in overall good performance and good part in overall bad performance.

II.5 Scope of the study

This study provides details of possibility of a comprehensive performance appraisal model especially for knowledge workers. Performance here is looked at from various dimensions like results delivered, traits and behaviors exhibited during the performance, and how people with whom performer interacts during performance feel about performer. The suggested framework could help in reducing subjectivity in appraisal processes especially for knowledge workers where both tangible and intangible parts of the performance are critical. While the model is tested in one company in knowledge industry, it could be used in any industry for wide range of knowledge workers.

II.6 Organization of Thesis

Chapter I traces the historical background of Performance Management system in India including development of the Appraisal process in the last decade – from the concept level to its application. It is sought to 1) examine why the current systems fail; 2) explore the relationship between Performance Management and Development model including the relationship between Performance Management System and Performance Management & Development System (PMDS). The focus is also on the concept of knowledge, knowledge workers and future challenges.

Chapter II basically deals with origin, objective purpose and importance of the study. Focus here is to crystallize what is intended to be achieved and why.

Chapter III deals with literature review and covers basic definitions of performance, management, performance management and performance management and development. It also focuses on steps involved in PMDS, appraisal criteria, types of assessors, appraisal methods and principles of performance management. Earlier researches in the field of Performance Management and the works of T V Rao, late UdaiPareek, Michael Armstrong and Peter Drucker on Performance Management are also examined. Issues and shortcomings in current PMS practices, remedial measures and understanding of Balanced Scorecard are also covered. Chapter also covers Research need.

Chapter IV deals with research methodology for the study. The methods of data collection including inspection of records, performance interviews and discussions are examined. It also explains source and method of collecting primary and secondary data, sampling plan etc.

Chapter V deals with findings of current practices in performance management systems for knowledge workers. It also covers perception of knowledge workers about performance management system, its effectiveness and likely reasons for failure. Knowledge workers opinion on critical parameter for successful performance management and suitability of select attributes for ability to perform, potential to grow, and ability to change are covered. It also throws light on psychological barriers for performance appraisal and difficult / uncomfortable situation during performance appraisal. Satisfaction level with current systems is also covered in this chapter.

Chapter VI covers need for comprehensive model and explains in details proposed model “OASIS” and its each component for performance management and development. Efforts are made to answer how a most effective and appropriate Performance appraisal system could be evolved. Personal interviews with outstanding personalities who have evolved their thoughts after facing the issues of the present study and their opinion on the proposed model and its elements are captured and analyzed in details in this chapter.

Chapter VII deals with findings of the case study test results and compares test results of “OASIS” model with legacy system. It also analyses in details opinion of heads of respective test groups to establish relevance and effectiveness of the proposed model ‘OASIS”.

Chapter VIII deals with overall conclusion of the study. Also how “OASIS” model caters to various requirements as projected by researchers is covered in this chapter. Limitations of the study and scope for future research are also covered.

Chapter III LITERATURE REVIEW

III.1 Performance Management and Development System Defined

Assessing others and oneself is quite natural to human beings. It comes almost as basic instinct. In a broader sense, the practice of appraisal is a very ancient art. In the scale of things historical, it might well lay claim to being the world's second oldest profession. Yet, the history of performance appraisal is quite brief.

George cited in Banner et al. [21] has observed that the performance appraisal in industry was probably started by Robert Owen in the early 1800s in his Scottish cotton mills by using colored cubes to indicate the performance level of workers. White cube was hung on the workstations of workers with ‘excellent’ performance, while yellow was used for ‘good’ performance, and blue for indifferent workers. Black cube was used to indicate ‘bad’ performance. Referring to study by Lopez, they have stated that formal PA was introduced in 1813 by Army General Lewis Cass of United States, when he submitted an evaluation of each man described colorfully as 'a good natured man' or 'a knave despised by all'. However, as per Lopez, widespread appraisal in the United States government was first introduced in 1842. Till early 20th century, PA systems were used primarily by military and government organizations. Arm forces have been pioneers in developing PA techniques, including man-to-man ranking, forced choice measure, and trait-rating scales. Any administrative action based on the basis of color, creed, sex, etc. were prohibited post enactment of 1964 Civil Rights Act. This enactment brought in the legal angle to use PA and this became the final blow to subjective, Trait-based PA approach.

In order to define PMDS, we need to understand and define Performance; Management; Development; and System separately and collectively.

Performance

There are different views on what performance is. The Oxford English Dictionary defines performance as “The accomplishment, execution, carrying out, and working out of anything ordered or undertaken”. Armstrong in his handbook on HRM practice [2] has

cited performance definition by various authors. As per Bates and Holton Performance is a multi-dimensional construct whose measurement varies depending on various factors. According to them, it is important to determine if the measurement objective is to assess performance outcomes or behavior. As per Kane performance is something that the person leaves behind and that exists apart from the purpose. Bernadin et al has defined performance as the outcomes of work as outcomes provide the strongest linkage to the strategic goals of the organization, customer satisfaction, and economic contributions. However, as per Campbell Performance is behavior and should be distinguished from the outcomes because they can be contaminated by systems factors.

Sultan Kermally [22], has defined performance as a function of a) knowing what to do (job clarification), b) knowing how to do it (job skills), c) wanting to do it (motivation), and d) being able to do it (support, counseling, coaching and mentoring).

As per T V Rao [23],
Individual Performance = Ability X Motivation X Organizational Support

As per Armstrong [2], performance is a combination of both behavior and results. In support he has cited a study by Brumbach, where it is stated that performance means both behaviors and results. As per Brumbach, behaviors emanated from the performer, transform performance from abstraction to action. Behaviors are not merely the instruments for results, but are also outcomes in their own right. Behaviors are the product of mental and physical effort applied to tasks and can be judged apart from results. This definition of performance leads to the conclusion that when managing the performance of teams and individuals both inputs (behaviors) and outputs (results) need to be considered. Hartle has called this as ‘mixed model’ of performance management as it covers competency levels and achievements as well as objective setting and review.

Thus it can be concluded that performance is combination behavior and results i.e. what and how.

Management

Management is doing things that are required to accomplish objective. Daniel A et al. [24] have defined management as the activity that performs certain functions in order to obtain the effective acquisition, allocation, and utilization of human efforts and physical resources in order to accomplish some goal.

Gene Burton et al. [25] have defined management as the process of planning, organizing, leading, and controlling the resources of an organization in the efficient and effective pursuit of specified organizational goals.

Thus Management is effective way of planning, organizing, developing and utilizing resources to get desired output / results.

Performance Management

As per Gary Dessler [26], "Performance Management refers to managing all elements of the organizational process that affect how well employees perform. Performance Management process may thus encompass goal setting, worker selection and placement, performance appraisal, compensation, training & development, career management.

As per Armstrong [2], PM is a strategic and integrated approach to delivering sustained success to organization by improving performance of the people who work in them and by developing the capabilities of teams and individual. It is integrated in four senses:

- Vertical integration – linking or aligning business, team and individual objectives;
- Functional integration – linking functional strategies in different parts of the business;
- HR integration – linking different aspects of human resource management especially organizational development, human resource development and reward, to achieve coherent approach to the management and development of people; and
- Integration of individual needs with those of the organization, as far as possible

Alternately, Armstrong [27] has also defined performance management as "a systematic approach to improving and developing the performance and competence of individual and team in order to increase overall organizational effectiveness".

As per Grote [28], Performance Management is a process of creating a work environment that enables employees to perform to the best of their abilities.

As per Armstrong [2], Performance management is about managing the organization. He has cited conclusion by Flower, that PM is a natural process of management, and is not a system or technique. Further, Armstrong has referred to study by Jones, where he has advised to "manage context, not performance". As per Jones, PM is also about managing within the context of the business (its internal and external environment). As per him, context, will affect how it is developed, what it sets out to do and how it operates. Thus context is very important.

As per Armstrong [2], PM is concerned with 1) performance improvement; 2) employee development; 3) satisfying the needs and expectations of all the organization's stakeholders; and 4) communication and involvement. He has quoted Lawson that organizations have to get right things done successfully.

As per Kaplan [29], performance management is channelizing the energies, abilities, and specific knowledge held by people throughout the organization towards achieving long term strategic goals. Performance management can be done by achieving balance between short and long term objectives, between financial and non financial measures, between lagging and leading indicators, and between external and internal performance perspectives. Performance management is tracking financial results while simultaneously monitoring progress in building capabilities and acquiring intangible assets they need for future growth.

Thus, it can be said that Performance Management is an integrated process within the business context that creates work environment to facilitate systematic improvement of organization and individual performance and competence through communication and involvement for overall organizational effectiveness.

Development

As per Garry Randell et al. [30] development is an increase in employees' capacity to work. This can be either increase in knowledge, a change in attitude or an extension of

skill. This can result from the review or experience or training that has been agreed during the course of the review.

T V Rao [23], defines Development as acquisition of competencies i.e. knowledge, attitudes, values, and skills in 1) technical areas, 2) management areas, 3) human relations areas, or 4) conceptual and visionary thinking.

Salunke [31] considers Development as learning opportunities directed toward helping employees grow. As per him, generally, the term development is used to refer to new learning experiences and is future-focused to benefit both the organization and individual. Thus, Development refers to planned, continuous efforts on the part of the organization to improve employees' competency levels and firm's performance.

Thus Development can be defined as planned improvement in employee's performance capabilities through organizational / individual interventions.

Performance Development

Spencer et al. [32] defined performance development as a process of continuous development of threshold and differentiating competencies of the organization, individuals and teams i.e. continuous improvement in core competence of the organization, and the capabilities of individuals and teams (Section III.8 for details on competency and competency characteristics). Alan Mumford has defined it as a process of deliberate learningfrom experiences i.e. from problems, challenges and successes inherent in day-to-day activities of self and others.

According to Marshall Sashkin [33] Performance development is through coaching and problem solving. He adds, coach is a helper, who helps the employee identify problems he or she may be having and who then helps the employee find ways to solve those problems. Six steps for coaching through problem solving approach given by him are Problem definition; Problem-Solution generation; Ideas to Actions; Solution-Action Planning; Solution evaluation planning; Evaluation of the product and the process.

As per Salunke [31], Management development is an integrated approach for improving individual, team and organizational performance. It is not just a training course, or a good compensation system, or a simply good performance system. It is an attempt to improve current as well as future employee performance by increasing an employee's ability to perform through learning, usually by changing the employee's attitude and increasing his or her skills and knowledge.

Thus, performance development can be defined as continuous improvement in capabilities of individual, team and organization to deliver desired results within business context through deliberate learning and coaching.

Performance Management & Development

By understanding performance; management; performance management; development; and performance development individually and collectively, it can be stated that **Performance Management and Development is a process of managing and developing work environment that ensures achievement of pre-defined outcomes and behaviors (in line with organizational objectives) through developing organization, team, and individual competencies & capabilities.**

System

As per Robert N Anthony, a system is a prescribed and usually repetitious way of carrying out an activity or a set of activities.

Performance Management and Development System (PMDS):

On analyzing work done by various researchers / books published on performance management, it is observed that performance management system has both elements, i.e. managing people for current performance needs and developing them for future requirement. It actually encompasses all the steps from defining the objectives to delivering the results and ensuring development of desired competence. Performance Management System as defined by Human Resource Institute of New Zealand, Guide to Performance Management System [34] is given below.

"Performance management system" is the process of identifying, evaluating and developing the work performance of employees in the organization, so that the organizational goals and objectives are more effectively achieved, while at the same time benefiting employees in terms of recognition, receiving feedback, catering for work needs and offering career guidance. It can also be defined as, a process or set of processes for establishing shared understanding about what is to be achieved, and of managing and developing people in a way that increases the probability that it will be achieved in the short and long term.

Thus, Performance Management Systems should actually be referred as Performance Management and Development System (PMDS). This is also stated by Lawson (1995).

Thus Performance Management and Development System (PMDS) could be defined as a process which

A. Assists in managing individual / group / company performance to achieve planned end objectives under a given operating conditions and time frame

B. **Helps in identifying relevant competencies that need development in order to improve people performance to attain mid / long term objective.**

In spirit Performance Management System (PMS) as defined by most of the authors / researchers is same as Performance Management and Development System (PMDS).

III.2 Principles of Performance Management

As per Armstrong [2], Performance Management is based on principle of management by agreement or contract rather than management by command. It emphasizes development and initiation of self- managed learning plans and integration of individual and corporate objectives.

According to Tim Jackson [20] (Sr. Consultant with The Appraisal Consulting Company) performance management system rests on the following basic principals

- Goals should be set and agreed upon both by the manager and the employee
- Clearly defining Metrics for measuring the employees success in meeting set goals
- The goals should be flexible enough to reflect changing conditions in the economy

and the workplace

- Managers should act as Coaches, and not pass judgment but help employee in achieving success. Also employees should be able to think about their manager the same way.

Armstrong [2] has referred to the principles of performance management as summarized by IRS and are given below:

- It translates corporate goals into individual, team, department and divisional goals.
- It helps to clarify corporate goals.
- It is a continuous & evolutionary process, in which performance improves over time.
- It relies on consensus and corporation rather than control or coercion.
- It encourages self-management of individual performance.
- It requires a management style that is open and honest and encourages two-way communication between superiors and subordinates.
- It requires continuous feedback.
- Feedback loops enable the experiences and knowledge gained on the job by individuals to modify corporate objectives.
- It measures and assesses all performance against jointly agreed goals.
- It should apply to all staff; and it is not primarily concerned with linking performance to financial rewards.

III.3 PMDS – Steps Involved

Steps involved in PMDS as given by Grote [28] are

1. Defining Clear Job description
2. Selection of appropriate employees via appropriate selection process
3. Negotiating accomplishment-based performance standards, outcomes, and measures. i.e. Set and communicate goals & Measuring Indices i.e. establish a shared understanding about how to achieve defined objectives and manage balance between short and long term objectives; financial and non financial measures; lagging and leading indicators; and external and internal performance perspectives.

4. Providing feedback i.e. provide a basis of self evaluation, monitoring / analyzing. Conduct progress review to bridge the gaps i.e. link what is done by employees on daily basis towards defined objectives within organizational values and cultural practices.
5. Summarize performance and assign the Rating
6. Address poor performance – Improve good performance; identify additional skills & resources needed. Develop culture & competences i.e. help developing talent for future needs. Providing effective orientation, education and training
7. Analyzing employee potential and facilitating succession planning i.e. help managing people for contributing to build long lasting & competitive organization.
8. Recognize & Reward good performance through effective compensation and recognition systems.
9. Providing career development opportunities for employees
10. Feedback by assessee on senior's performance in providing support & guidance.

III.4 Performance Appraisal and Appraisal Criteria

Performance Appraisal (PA) is one of the key steps in PMDS. Most of the work done by researchers of performance management in the earlier years was in the area of PA. Literature review also indicates that many authors have used term PA while spirit of their work / research is same as that of PMDS. Assessing performance against selected attributes / criteria / goals is critical for success of PA / PMDS.

Donald Pak [35] in his study has quoted definitions given by 1); Cardy and Dobbins i.e. PA is a process of identifying, observing, measuring and developing human resources in organizations. 2) Smith and Rupp i.e. PA is a two way communication process, between supervisor and employee intended to focus on three areas, development, motivation and recognition of achievement.

As per Singh N. Rokendro [36], purpose for the performance assessment may include:

- Basis for finding out potential employees,
- Basis for job change or promotion,

- Guide for formulating training and development programs.
- Giving feedback to the employees about their present work performance,
- Basis for remuneration to employees etc

As per Arvind Sudarsan [37], Performance appraisal is the activity concerned with determining thecontributions of individuals to the organizations they are associated with and is present in all enterprises where employees report to superiors, irrespective of industry, function or level. According to him, the debate on “how employees should be appraised” has yet not settled. Referring to the studies done by Aldakhilallah and Parente; Asopa and Beye; and Cardy, he has concluded that there are essentially three possible approaches to performance appraisal. 1) The results focused approach is concerned with whether the job has been done or not. Under this approach, employees are rewarded for meeting or exceeding performance targets. 2) The behavioural method is concerned with employee behaviour. The focus is on whether an employee is doing things in the right way, and not on the amount of output as such. The advantage this approach is that it becomes relatively easy to analyze and identify where a person is going wrong and to suggest steps to correct the same. 3) The person-centred approach is concerned with measures of personal characteristics such as knowledge, skills and ability. Under this approach, employees are rated higher based on whether they possess the characteristics that are deemed to be superior. A high rating may be given to an individual for possessing formal qualifications or being certified as competent regardless of actual performance, or contribution to group efforts. The earliest appraisals were trait based. Gradually, organizations turned to the appraisal of performance and behaviours.

Ba°rdKuvaas [38] has cited research by Fletcher and concluded that PA has increasingly become part of a more strategic approach to integrating HR activities and business policies and may now be seen as a generic term covering a variety of activities through which organizations seek to assess employees and develop their competence, enhance performance and distribute rewards. He further cited studies by Fletcher; Lefkowitz; Levy and Williams; Waal; and Boswell and Boudreau to conclude that both practice and research have moved away from a narrow focus on psychometric and evaluation issues to

developmental PA, which may be defined as any effort concerned with enriching attitudes, experiences, and skills that improves the effectiveness of employees.

Two broad roles of performance management given by Veronica Martinez [39], are 1) to clarify the Objectives of the organization and communicate them in a way that makes the strategy explicit; 2) to measure performance against these objectives to provide feedback as to whether or not the goals are being achieved.

According to Murphy [40] performance measures can be characterized as either objective (i.e., measures that require few judgments, such as production counts) or subjective (i.e., measures that rely on the evaluative judgment of fallible judges). As per him, although in principle objective measures are preferable, they are not feasible in most setting.

Generally numerical or scalar rating systems are used to assess performance whereby managers are asked to score an individual against a number of objectives / attributes. The most frequently used appraisal criteria are Traits, Behaviors, and Task outcomes.

- Traits, such as personality, aptitudes, attitudes, skills, and abilities are used to assess employees. Traits are relatively easy to assess once a rater gets to know rates. But traits are not always directly related to job performance. Trait-based assessment lacks validity and thus frequently raises legal questions.
- Behaviors: As per Henderson [41], behavior is an observable activity exhibited by an employee in the performance of a job assignment. It is believed that behavior-focused assessment encourages employees to adopt desirable behavioral patterns in the workplace. In such cases, desirable behaviors are identified and assessed in the belief that such behaviors lead to successful performance.
- Task outcomes: Are actual results produced by the individual's efforts / actions and not the efforts / actions / activities. When information about task outcomes is readily available, it is the most appropriate factor to use in evaluating performance. When an organization has a clear and measurable goal as in the case of a sales force, this approach is recommended.

III.5 Types of Assessors / Raters

Predominantly, immediate supervisor / manager rates the employee. However, other raters used in some companies include peers, customers, and the employees themselves. Peer evaluation is particularly useful when teamwork and collegiality are important to successful task performance. Each of these raters contributes to assessing certain aspects of performance. Since job performance is multidimensional in nature, it is important to use different raters or a combination of multiple raters depending on the goal of a performance appraisal system.

III.6 Appraisal Methods

Performance Appraisal has matured over a period from simple narrative statements to structured essays to Critical-Incident Method, to Multiperson Comparison Method, to Paired Comparison Method to Forced Distribution Method.

The Narrative Technique is a **Written Essay Method** also known as "Free Form method" about an employee's job performance prepared by a rater. The essay typically describes the rate's job-related behaviors and performance. Under **Checklist** method the assessor ticks appropriate column of Yes / No based on traits exhibited by the employee on the job in a checklist of statements on the traits of the employee and his or her job. Overall points earned by the employee are arrived at by assigning score to each statement. Advantages of this system are economy, ease, standardization and limited training of assessor; whereas shortcomings include susceptibility to rater's biases, use of personality criteria instead of performance criteria, likely misinterpretation of checklist statements. **Critical-Incident Method** involves keeping a running log of effective andineffective job performance. Under **Confidential Reports Method,** Annual Confidential Report (ACR) giving ratings on attendance, discipline, self expression, team work, leadership, initiative, technical ability, reasoning ability, originality and resourcefulness etc. is prepared. The system is highly secretive. Feedback is given only in case of an adverse comment. It is highly subjective and susceptible to manipulation. Though it is mostly used by government departments, its' presence in industry cannot be ruled out. Under **Field Review Method,** a senior member of the HR function discusses

and interviews the supervisors to evaluate and rate their respective subordinates. This method is time consuming however, reduces personal biases [9] [10].

The **Multiperson Comparison Method** asks raters to compare one person's performance with that of one or more others. It is intended to effectively eliminate the possibility of giving the same rating to all employees. The **Paired Comparison Method** is a special case of the Multiperson Comparison Method. Everyone in the evaluation pool is compared against everyone else as a pair and recorded "plus" or "minus" when the target ratee is better or worse, respectively, than his/her comparison. The final performance ranks are determined by the number of positives. In order to separate performance scores among multiple employees, the Forced Choice or Forced Distribution Methods are adopted. Under **Forced Choice Method**, rater has to chose appropriate statement from group of two or more pre-written statements based on which is most or least descriptive of the employee. The method is free of personal bias but errors may creep in if the statements are not properly framed or they may not be precise description of the assessee. Whereas under **Forced distribution Method** required employees in the group to be force ranked such that performance distribution conforms to normal statistical distribution. Employees are distributed in some fixed categories of ratings like on a normal distribution curve. The rater chooses the appropriate fit for the categories on his own discretion hence, is susceptible for biases. Under this method all employees are forced fit into different performance categories like super achievers, good performers, Average performers, poor performers etc. A growing number of organizations, including the likes of Ford, Microsoft and Conoco, have adopted performance appraisal models in which best-to-worst ranking methods are used to identify poor performers. The strategy is known as **"rank and yank"**. According to Time magazine, forced ranking appraisal systems have spread to around 20 per cent of U.S. companies in recent years [9] [10].

Most popular methods that are being used as performance appraisal process are:

- Trait based appraisal.
- Graphic Rating Scale
- Behavioral Observation Scale
- Behaviorally Anchored Rating Scale

- Management by objectives
- Balanced Scorecard
- 360 degree appraisal

Under **Trait based assessment**, traits like integrity, ability to perform, attitude etc are commented upon / rated. The **Graphic Rating Scale** is the simplest and most popular method for performance appraisal. The Graphic Rating Scale offers a list of areas related to job performance. A manager rates each employee on the listed areas according to a numerical score. Although this method is relatively simple and quick to complete, some experts question its validity and reliability. Without elaborate description, appraisal items and scores are subject to various interpretations of raters. The **Behaviorally Anchored Rating Scale (BARS)**, offers rating scales for actual behaviors that exemplify various levels of performance. Because raters check off specific behavior patterns of a ratee, PA results of BARS are more reliable and valid than those of the Graphic Rating Scale. The BARS method did not gain popularity because many organizations found it time-consuming, costly, and complex. There are also problems of establishing ratings[32].

Management by Objectives involves setting specific measurable goals with each employee for explicit time period and then periodically reviewing the progress made. Individual goals are derived from departmental / Functional goals & objectives. Functional & departmental goals and objectives are derived from organizational goals & objectives. It is a participative decision making process. As per Mark Vickers [42], the one of the critical challenge faced by MBO is employees negotiating low objectives instead of upping their performance. Management by Objectives is not without serious problems. Setting measurable objectives and their desired levels, and assessing the degree of attainment remains extremely thorny issues with or without MBO. In fact, Stein [43] found that measurability problems were ranked by 428 lower and middle managers as most serious of all the problems encountered with MBO. In addition to the practical problems associated with the strategy of focusing on quantifiable end results alone, the conceptual validity of this strategy leaves much to be considered. It is argued that without the appropriate behaviors, the desired end results simply will not materialize as often.

Arvind Sudarsan [37] observed that for performance appraisal almost all organizations use work achievements and a significant number appear to use an MBO approach as well. However, it appears that the MBO type approach as practiced by some organizations is flawed and that MBO is in general not appropriate for individual employees. The use of KRA based targets across all functions and levels is also not recommended. He has cited observations made by Bolar, that MBO was advocated as a system to manage organizations or business units and not individuals. He has also cited studies by Sherwin, and Drucker to emphasize that "Performance appraisals cannot logically be based on the results of the MBO objectives because the results of a multiperson objective cannot properly be used to measure a single person's performance".

The Balanced Scorecard (BSC) used as a central organizing framework for important managerial processes: individual and team goal setting, compensation, resource allocation, budgeting & planning, and strategic feedback and learning [29]. For details please refer section III.8 Understanding Balanced Scorecard.

360-degree feedback as per Peter Ward [44], it is an appraisal / feedback tool introduced for developmental purposes and has found its role in overall assessment as well. It provides a broader perspective of an employees' performance. It is defined as: 'The systematic collection and feedback of performance data on an individual or group derived from a number of the stakeholders on their performance.' The data is usually fed back in the form of ratings against various performance dimensions. It provides more comprehensive feedback information than most traditional methods. For details please refer section III.10 360 Degree Appraisal – Views and Counter Views.

III.7 Work Done in PMS by T V Rao; UdaiPareek; Michael Armstrong; and Peter Drucker

Dr T V Rao contributions in the areas of Performance Management are multi-faceted and manifold. One, Dr Rao popularize the methodology of ' Developing Leadership through Feedback by Known People (DLFKP)' alongwith K N Khandwalla, J P Singh and S Ramanarayan (known as 360 Degree Feedback) [45] Two, Competency Mapping was a tool designed by Dr Rao [46]. Three, the HR Score Card was Dr Rao idea too [47].

Four, Dr Rao and Dr UdaiPareek focus extensively on the Review Exercise of the Performance Appraisal System [48].

Dr Rao [49] stresses the need to recognize the complexities of the multi-dimensional PMS. His latest line of thinking is on creating a Performance Index for each employee on a quarterly and annual basis. The Performance Index should be based on performance and potential and should include 360-degree feedback (feedback from juniors, internal and external customers, etc., besides the senior). The Index should include weightage given to the time allocated for managing the performance of self and juniors, interpersonal competence (dyadic relations), team work, and other organizational contributions through one's initiative (contributions to intellectual capital and talent management).

Dr. Rao's [49] suggestions for a new look at performance management system based on his experiences are – it is high time outlook to PMS changes. According to him, since it is in fact the reason for the very existence of employees and the organization, PMS should be recognized more than merely a system. As Appraisal ratings are bound to be subjective; they should be treated with respect and kept at a distance. Reducing the entire year's work of an employee to a number is ignoring the potential of people in building organizations. He recommends use of new mechanisms like the Annual Performance Index to make such assessments more comprehensive and acceptable. Use of IT support is suggested for reducing administrative overheads and enhancing participation, trust, and transparency. According to him, time has come for handing over PMS to the line managers. With this the ownership and seriousness can be shifted to line managers, and PMS can be integrated better with business and work. He advices to create a new role with skills in organization development and performance improvements and recommends that it should be only a part-time job to avoid any new power centers. HR Managers should facilitate the developmental needs by gathering and disseminating learning resources, interventions, and packages.

Both Dr T V Rao and the late **Dr UdaiPareek** were considered as 'the Fathers of Indian HRD'. Both were instrumental in starting the Human Resource Development System in India since 1974. In terms of ideas, thoughts, passion for the HRD movement in India

both are known to think alike in many ways. This can be seen from the number of Books and Research papers written and have authored together or even in the Consulting assignment both are involved.

As mentioned earlier the Performance Appraisal and Review Exercise pioneering design was credited to Dr UdaiPareek and Dr T V Rao. The Competency Mapping was a tool designed by Dr Rao and fully endorsed by Dr Pareek [48].

Dr UdaiPareek believes that good performers should be rewarded [48].

Dr UdaiPareek works relates to 1) Recognizing the complexities of the multidimensional PMS; 2) Develop Performance managers from line jobs; 3) Make PMS part of the budgeting process and integrate it with other systems.

To quote Dr UdaiPareek [50] in his own words: “Performance should be assessed against expectation which could be changed during the course of performance with the availability of new information, data and challenges. Expectation sharing and reviewing are the two most important aspects of Performance Management”.

Performance Appraisal Systems is Format-driven. Performance Management System is Process-driven [50].

Prof Michael Armstrong [51] contributions in the areas of Performance Management are equally significant. He views the process as Performance Management, not Performance appraisal. He even accepts the entire Performance management system as an integrative process. He has also been credited with working out a basic, conceptual and practical model for the Performance Management process wherein the organizational and individual contributions are equally relevant and required. Michael took pains to not only define objectives and performance standards but went even beyond that by defining the capability requirements. To use his words “capability, competence and competency” His analysis of the capability requirements are nothing short of a miracle. The methodologies used by him are appropriate and very productive.

Michael Armstrong, like Dr Rao, is particularly focused on the importance of Performance Reviews. How to evaluate and conduct the reviews? and of the need for self-assessment (self-appraisal). The other areas where his immense contributions are acknowledged are in the areas of improving performance (managing underperformers), feedback, counseling and coaching. Beyond these areas significant works by Michael are in the dimensions of personal development planning, overall design, general method for monitoring and evaluation or what must be termed as performance management in action. Michael and Baron (1998) classic statement on Measuring Performance is noteworthy: "Measurement is an important concept in performance management. It is the basis for providing and generating feedback. It identifies where things are going well to provide the foundations for building further success. It indicates where things are not going so well, so that corrective action can be taken. It provides the basis for answering two fundamental questions: 'Is what is being done worth doing?'And 'Has it been done well'. Michael favorite area has been the Knowledge workers.

Prof Peter Drucker greatest contribution relating to Performance Management has been the area of Knowledge workers. To use his own words: "The single greatest challenge Executives will face over the next few years is to learn how to manage Knowledge workers". Drucker observes that in Knowledge organizations each worker's knowledge and intelligence combine to form the means of production. The organization cannot control or own that. A worker can leave at any time, taking the means of production with him." This leads Drucker to conclude that we must lead and manage people in a new way. Look at people as assets and not as costs.

Drucker stated that a knowledge worker shines in a team. According to him Employee teams may be encouraged to meet, discuss, exchange and build ideas with no boundaries or constraints of operations. Drucker encouraged that coaching and mentoring be the process involved.

Drucker believes that Knowledge workers basically use their intellect to transform ideas, products, services and processes. Their main value to an organization is their ability to gather and analyze information and make decisions to benefit the organization.

Drucker strongly believe that Knowledge workers are essentially investors who make discretionary choices as to how and when their energies and skills may be invested.

Drucker contributions are substantially acknowledged in the following areas:

(a) Sources of Knowledge – such as the human expert, the end user, the multiple experts and ofcourse the literature.
(b) Knowledge Management – 'about connecting people to people, people to information to create competitive advantage.'
(c) Approaches to Knowledge Management – mechanistic, behavioral & systematic.
(d) Knowledge work – globalization of work, technology and changing workforce.
(e) Knowledge worker – called gold-collar they are known for their professional specialty, as people who analyze, synthesize and use information to solve problems, known for their skills and abilities and people who use their intellect to transform ideas, products, services and processes.
(f) Managing Knowledge workers – Drucker firmly believes that Knowledge workers shine in a team.

Areas where Drucker immensely contributed are Performance Planning and Performance Improvement (PPPI).To quote Drucker: "The objective of the entire process is improvement of performance. Performance planning and performance improvement assume importance in the context of an organization's focus on performance enhancement."

III.8 Understanding Competency and Competency Characteristics

Competency:

According to Grote [52], term 'Competencies' refer to the broad area of skills, abilities, and behaviors.

Spencer et al. [53] describes Competencies as underlying characteristics of people and indicate "ways of behaving or thinking, generalizing across situations. Competencies endure for a reasonably long period of time." Competencies are the cause of effective and / or superior performance in a job or a situation and are 'causally related'. Competencies

are ‘Underlying characteristics’ signifies that they are fairly deep and long lasting part of individual’s personality. These can predict one’s behavior in a wide variety of situations and job tasks. As competencies cause or predict behavior and performance, they are termed as ‘Causally related’. Since, competency actually predicts who does something well or poorly, as measured on a specific criterion or standard, it is ‘Criterion-referenced’. Dollar volume of sales for salespeople or the number of clients who stay “dry” for alcohol-abuse counselors are examples of criteria.

Threshold Competencies are the essential characteristics (usually knowledge or basic skills, such as the ability to read) that everyone in a job needs to be minimally effective but that do not distinguish superior from average performers (e.g. work knowledge).

Differentiating Competencies distinguish superior from average performers. For example higher than required achievement orientation in a person would differentiate superior from average performer.

Five Types of Competency characteristics as given by Spencer [53] are

- Motives: drive, direct and select behavior
- Traits: Physical characteristics and consistent responses to situation and information
- Self-concept: A person’s attitudes, values, or self-image
- Knowledge: Information a person has in specific content areas
- Skill: ability to perform a certain physical or mental task

III.9 Absolute, Relative Evaluation and Forced Distribution System

By and large two types of ratings are followed during performance appraisal 1) absolute rating; 2) relative rating. As name suggests under absolute rating systems, one’s performance is assessed against a given standard, whereas under relative systems one’s performance is compared with other employees in the group doing similar job. Importantly, rating system is used to improve differentiation amongst various rates on given performance criteria as inadequate differentiation leaves organizations with little inputs for making important personnel decisions like promotions, terminations or training

opportunities. While both rating systems have exhibited some advantages in achieving differentiations, based on studies done by Heneman; Nathan and Alexander; Wagner and Goffin, Brain concludes that relative rating systems may be more effective than absolute evaluations. Forced distribution systems (FDS) is one of the recently introduced method of implementing relative rating systems. Brain cites studies by Bretz et al.; Rynes et al.; Guralnik et al.; Jawahar and Williams [54] to conclude that FDS attempts to neutralize the rater's tendency to be lenient or provide inflated ratings leading to lack of differentiation between high and low performers resulting in inaccurate performance information. Due to these advantages of relative systems, organizations are more likely to relative performance appraisal systems (e.g., relative percentile method, ranking, etc.).

FDS was developed to deal with the problems of rater leniency and the lack of differentiation while performance ratings. FDS forces managers to discriminate between high and low performers. It generally involves either sorting employees into predetermined performance categories using a defined distribution curve (i.e., a set percentage of high, average and low performers). Alternately employees are ranked based on relative performance. Former General Electric (GE) executive Jack Welch perhaps has contributed more in popularizing use of FDS. Welch has extolled FDS as being an efficient and pragmatic means of ‘‘rewarding doers’’ and ‘‘building muscle’’ for the organization. FDS at GE and other organizations is considered more than a performance evaluation means. It is considered central to the development and succession planning processes and the cornerstone for building performance-oriented culture [54].

FDS is not free from criticism. Aauthors like Jeffrey Pfeffer, Malcolm Gladwell, and Sutton have condemned FDS. According to them FDS is dysfunctional and hazardous to an organization's culture and performance. Critics mainly point to examples of Ford Motor Company which had unsuccessful experience with FDS. Amongst critics of FDS, some have a philosophical objection to the concept of forced distribution in general; while others have objection on the way it is done. Also ratees' rather negative perceptions about FDS are cited as an important reason for avoiding use of relative systems. [54]

In one of the first studies to examine perceptions of FDS from a ratee perspective, Brian D and et al. examined four key elements that distinguish different forms of FDS and influence respondents' attraction to FDS viz 1) consequences for low performers, 2) differentiation of rewards for top performers, 3) frequency of feedback, and 4) comparison group size. According to them individual attributes like cognitive ability, gender, and major are also likely to affect those preferences. They conclude that 1) Respondents were most attracted to systems with less stringent treatment of low performers, high differentiation of rewards, frequent feedback and large comparison groups; 2) Respondents with higher cognitive ability favored high reward differentiation and males were less affected by stringent consequences for low performers; 3) Consequences for low performers were nearly twice as influential as any other element.

Richard D Goffin et al. [55] in their study compared the criterion-related validity of a social-comparative performance appraisal process (RPM) with that of two absolute performance appraisal processes (BOS and GRS) and found that the use of a performance rating format that encourages social comparisons resulted in higher levels of criterion-related validity. The superior criterion-related validity of the social-comparative format was evident regardless of whether a global or a composite rating of performance was used. The similarity of their overall findings with those of Goffin et al., Heneman, Nathan and Alexander, and Wagner and Goffin suggests that social-comparative processes may well be worthy of greater consideration in performance appraisals.

III.10 Understanding Balanced Score Card

Walidcheffi et al. [56] described Balanced Scorecard (BSC) as a system for managing performance that stems from an organization's vision and initial strategy. As per Kaplan [29] – creator of the concept, primarily it is a mechanism for strategy implementation and is used to clarify, communicate, and manage the strategy. It is a central organizing framework for important managerial processes like individual and team goal setting, compensation, resource allocation, budgeting & planning, and strategic feedback and learning. It helps in translating an organization's mission and strategy into a comprehensive set of performance measures that create the framework for a strategic

measurement and management system. The BSC enables companies to track financial results while simultaneously monitoring progress in building the capabilities and acquiring the intangible assets they need for future growth. As per Ulrich [57], the BSC is built on the logic that for a business to be considered successful, it must satisfy the requirements of three stakeholders: investors, customers, and employees. Referring to studies done by Staff, Atkinson and Epstein, Frigo and Krumwiede; AndraGumbus et al. concludes that the balanced scorecard (BSC) is one of the most highly touted management tools today and Fortune 500 companies are increasingly using it. Kaplan quotes a survey that found approximately 50 percent of Fortune 1000 companies in North America and 40 percent in Europe use a version of the BSC. The editors of the Harvard Business Review (HBR) identified the BSC as one of the most significant management ideas of the past 75 years. As per Field, the BSC is now being listed as a value methodology along with cost–benefit analysis and return on investment. As per Simpson and Cacioppe BSC is used to help change organizational culture. Atkinson and Epstein; Gumbus, Bellhouse, and Lyons; conclude that as a result of using BSC, several companies have reported improved operational efficiency and profitability. Further, as per AndraGumbus et al. [58], the BSC helps an organization in the following six ways:

1. Promotes growth – due to focus on long-term strategic outcomes, not just short-term operational results
2. Tracks performance – individual and collective results can be tracked against targets in order to correct and improve.
3. Provides focus – when measures are aligned to a few critical strategies, the BSC provides focus on what is important to the company.
4. Alignment to goals – when you measure what is truly important to success, the measures become linked and support each other. Alignment occurs across the organization.
5. Goal clarity – the BSC helps respond to the question, “How does what I do daily contribute to the goals of the enterprise?”
6. Accountability – individuals are assigned as owners of metrics in order to provide clear accountability for results.

As per Kaplan [29], a good Balanced Scorecard should have an appropriate mix of outcomes (lagging indicators) and performance drivers (leading indicators) that have been customized to the business unit's strategy. Best Balanced Scorecards are more than collection of critical indicators or key success factors. The multiple measures on a properly constructed Balanced Scorecard should consist of a linked series of objectives and measures that are both consistent and mutually reinforcing. In summary BSC

- Creates shared understanding by describing the organization's vision of the future to the entire organization.
- Creates a holistic model of the strategy that allows all employees to see how they contribute to organizational success. Without such linkage, individuals and departments can optimize their local performance but not contribute to achieving strategic objectives.
- Focuses on change efforts.

BSC proposed by Kaplan et al. [29], measures organizational performance across four balanced perspectives: financial, customers, internal business processes, and learning & growth. (The four perspectives should be considered a template, not a strait jacket). The name reflects the balance provided between short and long term objectives, between financial and non-financial measures, between lagging (outcome measures) and leading indicators (performance drivers), and between external and internal performance perspective.

Kaplan et al. have detailed Financial, Customer, Processes, and learning & Growth perspective as follows.

Financial objectives represent the long-term goal of the organization i.e. to provide superior returns on the capital invested. "Financial perspective" covers lag metrics like profitability, asset returns, and revenue enhancement; and leading metrics from themes relating to revenue growth, productivity improvement and cost reduction, asset utilization, and risk management. All these metrics provide the necessary linkage across all four scorecard perspectives. Every measure selected for a scorecard should be part of

a link of cause-and-effect relationships, ending in financial objectives, that represents a strategic theme for the business unit.

“Customer perspective” covers outcome measures for company’s marketing, operational, logistics, and product and service development processes. It covers lagging core outcome measurements like share, retention, acquisition, satisfaction, and profitability for targeted customer and business segment; and leading measures that covers value proposition delivered to customers from three classes of attributes. The three classes of attributes are:

- Product and service attributes: functionality, quality, and price
- Customer relationship: quality of purchasing experience and personal relationships
- Image and reputation

“The internal-business process perspective” identifies measures for the critical processes including innovation & product development, and postsales service processes used to meet objectives of shareholders and of targeted customer segments. It covers lag measures that monitors performance and improvement in cost, quality, and time-based performance of existing business processes and lead indicators that measures ability of processes to deliver the expectations of specific external.

“The learning and growth” perspective covers measures that indicate the organizational capabilities for learning and growth. The enablers for learning and growth come primarily from three sources: employees, systems, and organizational alignment. A core group of three employee-based measures – satisfaction, productivity, and retention – provide outcome measures from investments in employees, systems, and organizational alignment. These drivers include summary indices of strategic job coverage, strategic information availability, and degree of personal, team, and departmental alignment with strategic objectives [29].

Four to Seven separate measures could be required for each of the four perspectives in the Balanced Scorecard. Thus a business scorecard will often have up to 25 measures. Here we need to distinguish between diagnostic measures and strategic measures. Diagnostic measures are ones those measures that monitor whether business remains in control and can signal when unusual events are occurring that require immediate

attention. Strategic measures are those that define a strategy designed for competitive excellence. As per Kaplan, diagnostic measures should be kept outside Balanced Scorecard as BC is not a replacement for an organization's day-to-day measurement system. Balanced Scorecard guards against some of the myopic suboptimization that occurs when only a single measure, especially a financial one, is used to motivate and evaluate business unit performance [29].

In their study, Walidcheffi et al. [56] have reported significant gaps among controllers, top management, and divisional managers regarding the design of the BSC for evaluating performance.

As per James M Higgins et al. [59] the corporate scorecard needs to be expanded to include the broader issues with which businesses must cope, and for which they are responsible. According to them an additional perspective for a rebalanced scorecard is the Employee perspective. The balanced scorecard treats employees as an asset in the Growth and Learning perspective, but this new perspective would go past that level of thought and be concerned with the employee as a human being, not as an asset for manipulation. Considerations for objectives here might include employee satisfaction with leadership, employee experiences with equitable treatment. They also propose that at a minimum a social responsibility performance perspective become part of the business scorecard.

Kaplan et al. [29] have given four step process that ensures that the Balanced Scorecard not only measures change; it also fosters change. The four steps are

- Clarifying and Translating the vision and strategy
    - Clarifying the vision
    - Gaining consensus
- Communicating and Linking
    - Communicating & Educating
    - Setting Goals
    - Linking rewards to performance measures
- Planning and Target Setting

    - Setting Targets
    - Aligning strategic initiatives
    - Allocating resources
    - Establishing milestones
- Strategic Feedback & Learning
    - Articulating the shared vision
    - Supplying strategic feedback
    - Facilitating strategic review and learning

III.11 Potential and Traits

Potential:

As per Gerry Randell et al. [30] potential is what individual's capacity and inclination could allow him / her to do in future. Objective data collected from exact observations leavened with subjective judgment based on fleeting clues or intuitive guesswork provide information regarding potential. Various sources that provide these information are Self Reports, Immediate Manager's reports, Observation by senior managers, and consultants. This information is often immersed amongst the current performance information, and can appear as a global assessment about 'readiness for promotion' or 'suitability for responsibility'.

Traits:

Its dictionary meaning is mannerism, peculiarity, attribute, characteristics, feature, quality. As per Henderson et al. [41] traits are important aspect of one's personality and represents 'how' of 'what' one does. Traits are those characteristics firmly anchored in human behavior – distinguishing qualities of character – that manifest themselves on the job and influence performance.

III.12 360 Degree Appraisal – Views and Counter Views

360-degree feedback is also referred to as multi-source assessment or multi-rater feedback. 360 Degree feedback is a registered trademark of team Inc., a company that did pioneering work on the theory and its application. Growth of 360 degree feedback system

can be attributed to flatter organizational structure, increased use of teams and problems with traditional performance systems.

As per Rao [85] 360 degree assessment is quite popular and is mainly used as a feedback mechanism to senior management. Depending upon its objective, different types / models of multi-rater assessment tool are used. TVRLS (T.V. Rao Learning Systems) has developed RSDQ model (roles, styles, delegation and qualities) for assessing top and senior management in terms of managerial and leadership competencies. Philips uses Leadership Development Questionnaire to gain feedback on manager's performance in his current job from different people in his environment. NIIT uses IEF model (Individual Effectiveness Feedback) for all its employees to get multi-rater feedback on five key values and 25 key behavioral attributes. Johnson & Johnson uses SOL model (Standards of Leadership) that collects feedback on behavior expected to be displayed by all its leaders. The most researched leadership development models are available from the Centre for Creative Leadership at North Carolina, Chapel Hill.

Salunke [31] defines 360 degree appraisal as a professional approach to develop managers for multiple tasks to meet the business challenges in today's competitive environment and feel that this technique is particularly helpful in assessing soft skills possessed by managers. He adds that by design, the 360 degree approach is effective in identifying and measuring interpersonal skills, customer satisfaction and team building skills. As per him, to become competitive, organizations needs to adapt such a system of assessment which help all stakeholders to develop, contribute and become a high performing unit. He concludes that the 360 degree appraisal approach is more appropriate for developmental purposes than for evaluative purposes.

Sanwong [60], in his research to develop and implement a 360- degree Appraisal Process and to measure the extent to which it leads to improvement of staff job performance concludes that 360 Degree Appraisal System can be regarded as a 'success' in the context. Various suggestions based on his findings for using such a system of appraisal within colleges and universities, especially in terms of making themselves more independent are 1) employees at such institutions should accept the benefits that flow from the use of this

modern kind appraisal system. 2) The committee operating 360-degree Appraisal System must have the resources and capabilities for undertaking research into the system and be able and willing to cooperation with all those persons who are involved with the system in one way or another. 3) While the purpose for the evaluation approach are pretty clear-cut, to enhance performance and reward the appropriate persons, the planning and feedback required must be planned before the system is put into practice. 4) Apart from feedback towards the employees whose performance is appraised, the committee must be prepared to write a report for the senior managers in the institution executives if it is deemed necessary. 5) The 'results' from the 360-degree Appraisal System should be followed up to see if any problems occur and if the appraisals have in fact turned out to be 'successful' later on.

Angelo S et al. [61] in their research reported a survey of developers of 360-degree systems' where 85 percent of respondents reported their clients used these systems primarily for development, but only half used them exclusively for development. The others indicated their clients used the appraisals for both development and for administrative decisions. According to them many organizations begin the system to collect data for development purposes, but over the period start using the ratings for more than just feedback. They believe, that 360 Degree systems should be used primarily, if not exclusively, for developmental purposes" as there are data to suggest that using 360-degree appraisals for decision making affects the actual ratings given. However, they recognize that many organizations will eventually use these rich evaluative data for decision making. According to them administering 360-degree appraisals only once (and then never repeating) make it impossible for employees to receive feedback if their performance is improving over time for effectiveness of the system. In case of its use for decision making, they recommend to avoid all raters evaluating employees in all areas to maintain effectiveness of the feedback.

According to Donald Pak [35] times have changed; organizations require employees to go beyond efficient and effective, but rather to distinguish themselves. The concept of 360 degree envisages raising individual and team performance levels, but caution is needed to initiate, develop and implement a strategic 360 Degree Performance Appraisal

System. He has examined the use of 360 from two perspectives: (a) Organizational: to facilitate cultural change, used solely for developmental purposes, succession planning systems, executive development, reinforce core values and business strategies, and input to the performance appraisal. (b) Individual: aid improving or even unsatisfactory performance, used to decrease employee's defensiveness about weaknesses, used as device to provide negative feedback and to give employees a good understanding of their abilities. He concludes that 360 degree helps (a) Organizational: enhance two way communication increasing employee involvements, demonstrates respect by showing their opinions count and helps to create better working relationships. (b) Individual: the feedback is invaluable because it comes from numerous sources, increasing the reliability, fairness and acceptance of the data being ratified, can act as a motivational dimension, serves as directional purposes, helps uncover and resolve conflict and act as an opportunity to praise or criticized co-workers anonymously. He concludes that the 360 degree model if implemented properly within universities and foreign enterprises ought to improve employee's confidence and raise it to new heights and strengthen moral and a team spirit and this would add overall value to the university, company and management alike. It is a reflective tool for all levels. The drawback is the high administrative workload.

Singh [36] concludes that in this competitive world, a sound and effective assessment /feedback technique "360 degree assessment – upward, downward and lateral feedback/ assessment approach" for the employees may be adopted to become a competent, effective entrepreneurial unit with high performing human resource. He adds that 1) the results of 360 degree assessment are also used by some organizations for making promotional or pay decisions. 2) 360 Degree assessment helps to paint a more comprehensive picture of that individual's performance. 3) Peer input can be effectively used for recognition and awards. 4) Self-appraisals are particularly valuable in situations where the supervisor cannot readily observe the work behaviors and task outcomes. Peers are often the most relevant evaluators of their colleagues' performance. He cautions that depending on the culture of the organization, peer ratings have the potential for creating tension and breakdown rather than fostering cooperation and support. Advantages of 360 Degree Assessment in the Entrepreneurial units as summarized by Singh are

- 360-degree feedback to stakeholders can lead improvement in a superior's consideration and employee development behaviors leading to positive changes in employees' job satisfaction and engagement and reduce their intent to leave.
- It enables superiors to take advantage of using unused or underutilized personnel strengths which will help to increase productivity and to the best advantage of the business.
- It enables superiors to make succession planning more accurate and design more efficient coaching and training initiatives.
- Individuals get a broader perspective of how they are perceived by others than previously possible.
- Increased awareness of and relevance of competencies and reinforcing the desired competencies of the business.
- Increased awareness by senior management that they too have development needs.
- More reliable feedback to senior managers about their performance.
- Identifying key development areas for the individual, a department and the organization as a whole.
- Identifying strengths that can be used
- Raised the self-awareness of people managers of how they personally impact upon others — positively and negatively.
- Supporting a climate of continuous improvement.
- Improves the climate / morale, as measured through the survey.
- Forces line managers to discuss development issues.
- Perception of feedback as more valid and objective, leading to acceptance of results and actions required.

Essentials that can help successful implementation of 360 degree feedback system as per Singh [36] are

- Prepare the participants;
- Make top management visible players;
- Tie feedback data to a larger program;

- Clarify ownership of data. Clearly state who owns the feedback data;
- Insist upon integrity;
- Commit 100 percent accuracy;
- Make administration as soon as possible and user friendly;
- Provide a safety net;
- Check the timings;
- Provide confidentiality and anonymity;
- Have a sunset clause on data;
- Anticipate what will go wrong;
- Start small;
- Integrate with other interventions.

Singh [36] concludes 360 degree assessment system is the most widespread among the several instruments that came into existence. It is also significant for developing competence of the employees. Moreover, integrated performance management is also a key organizational effort for being a dynamic, efficient and effective organization.

Ginksa et al. [63] in their research state that over the last decade, the new work arrangements (flattening hierarchies, more work being performed across functions and in cross-functional teams, gaining importance of peer input) have led to uses of 360 degree assessment beyond management development to replacing the traditional performance appraisal. The quantitative ranking associated with 360-degree assessment has had great appeal as a potential performance measurement tool. They believe that 360-degree assessment is indeed at a critical juncture in its history as the underlying premise of the 360-degree methodology (obtaining information from various sources) is sound whether for development or appraisal. They have quoted 1) Bernardin, Hagan, Kane, & Villanova, 1998, “Obviously, there are many unresolved issues in the theory and practice of performance appraisals. This dissatisfaction, however, did produce a salvage operation by organizations to "co-opt" 360-degree assessment in order to make performance appraisal decisions more objective and acceptable”. 2) Bracken, Timmreck, Fleenor, & Summers, 2001, “When 360-degree assessment is used for appraisal decisions, it can be an empowering mechanism that gives direct reports and peers a real say in how effective

their boss or peer is as a leader. In their research considering analysis on three levels (individual, interpersonal, and organizational) on likely impacts of this proliferation of 360 degree assessment as decision making tool they conclude that it in danger of losing its efficacy as a process to deliver honest and constructive feedback. In order to retain effectiveness they suggest use of two distinct tools – one for management development and one for performance feedback (designed to record performance outcomes and performance-related behaviors). In their opinion in the developmental context, raters appear to have an honesty mind-set, while in the appraisal framing they have an accuracy mind-set. Referring to Pollman study, they say, in the developmental frame, the motivation on the part of those being rated is "to be more effective," while in the administrative one it is "to be rated as more effective". In their study Ginka et al. have discussed the probability of rater-ratee collusion under the development versus appraisal applications and process implications, In order to reduce adverse impact of likely rater-ratee collusion they have suggested adopting a random assignment of raters and annual evaluation instead of every 6 months.

David A Waldman et al. [65] in their research state that in theory, the use of 360 feedback for evaluative purposes seems logical. They add that the research has demonstrated that when ratings become evaluative rather than purely developmental, some raters (up to 35 percent) change their ratings.

III.13 Performance Feedback and its Effectiveness

As per Angelo et al. [61] every employee is interested in performance feedback i.e. knowing how well he or she is performing given task. If employees do not receive feedback about the job done formally, they would seek it informally on their own. Performance feedback is an important part of many organizational interventions and is seen as important motivational tool. Most managers believe that performance feedback leads to improved performance, higher satisfaction and motivation on the job.

According to Angelo et al. [61] Performance feedback provided by outside source is usually effective. However, performance feedback works "Usually, but not always". They observed that in more than one-third of the cases feedback actually lowered

subsequent performance. They have listed certain conditions under which feedback appeared to actually lower subsequent performance. These conditions are given below.

- Feedback on complex task was more likely to result in declines in performance.
- Normative feedback providing comparative performance information of others results in performance declines. Whereas, in many cases, performance improvement is observed when Feedback provided comparative information about past performance specifically when performance had improved over time.
- Effectiveness of the feedback improves if feedback information is generated through computer as against supervisors delivering it personally.
- Feedback with specific suggestions for improvement was more likely to be effective in performance improvement.

Following have been recommended by them to improve feedback effectiveness:

- Focus on the task and task performance and not on the person or person's self concept.
- Feedback should not threaten the ego of the recipient.
- Suggestions to improve performance are included.
- Formal goal-setting plan along with the feedback should be included.
- Maximize performance improvement information and minimize relative performance information of others.
- Negative feedback should be presented in a manner that it does not affect self-esteem of persons specifically in case of persons with low self-esteem.

Five basic assumptions on which feedback intervention theory proposed by Angelo [61] is based are:

- Feedback comparing actual performance with goals or standards regulates the behavior.
- Goals or standards should be arranged hierarchically (highest level being meta-task process or a self-level; followed by task motivation or task level; and task learning level the lowest level)

- Only those feedbacks that receive attention will regulate behavior.
- Attention is normally directed to a moderate level in the hierarchy.
- The locus of attention is changed by feedback interventions and so feedback affect behavior.

III.14 Knowledge Workers – Definitions, Characteristics and Motivation

Definitions:

As per George et al. [62], Knowledge workers are workers whose responsibility extends beyond the physical execution of work to include planning, decision making, and problem solving. Miller [64] stresses that Knowledge workers use their intellect to convert their ideas into products, services, or processes. According to Thomas [18] High-End Knowledge workers perform the core work of organization leading to competitive advantage. They have high level of education or expertise and create, share or employ knowledge as the primary component of their jobs. Prof. Dr. Martin Eppler, University of St. Gallen / University of Luganoss defined Knowledge Workers as highly skilled professionals who are involved in the non-routine production, interpretation, and application of complex information. Svetlana Sajeva [15] has summarized definition of knowledge workers by various authors critical amongst them are by 1) Awad, Ghaziri according to whom, “Knowledge worker is a person who transforms business and personal experience into knowledge through capturing, assessing, applying, sharing, and disseminating it within the organization to solve specific problems or to create value; 2) Davenport and Prusak defines Knowledge workers as those who “create knowledge, such as product development engineers, or those whose use of knowledge is a dominant aspect of their work; 3) Desouza, Awazu says that Knowledge workers are those “who work innovatively and are radical in their use of knowledge.

Svetlana Sajeva [15] has cited Kelloway, Barling who gave three thematic definitions of knowledge workers i.e. 1) By their professional specialty; 2) By their role and activities that includes to analyze, synthesize and evaluate information and use that information to identify and solve problems of variable content alternately those who use their intellect to convert their ideas into products, services, or processes; those who deal with complex,

and often new, technologies; 3) By their individual characteristics i.e. educated, creative, computer literate, talent, smart, communicative, etc.

As per Kelley [13], the term “gold collar” worker is applied to knowledge workers. Other terms in use for knowledge workers as summarized by Svetlana Sajeva [15] are new economy workers, new millennium workers, professional eclectic or brain workers.

Characteristics:

As per Alberto [66] Knowledge workers are a special kind of asset because they increase in value with time, especially when improvements and developments are made [15]. Characteristics of knowledge workers as summarized by Sajeva [15] based on studies by Smith; Horwitz et al.; Awad and Ghaziri; Whicker and Andrews; Desouza; Kelloway and Barling; Storey; and Kotelnikov are 1) Unique Skills (e.g. expert knowledge, critical / strategic thinking, technological literacy etc.); 2) Creativity and innovation (e.g. idea fluency, capability to produce value); 3) Result orientation (e.g. desire to solve different and demanding problems, willingness for exciting work, ability to take risk, career development etc.); 4) Strong personality (strong believes, ambitious, self-confidence, self-control, self development, Self-motivated, leadership); 5) Flexibility and collaboration (teamwork, cooperation, high mobility, ability to adapt to different circumstances; 6) Personal growth and continuous learning (e.g. self-learning, continuous on-the-job learning).

Motivation:

Referring to study by Holland et al. Barnes (as cited by Sajeva [15]) concludes that knowledge workers think, behave, and need differently. Thus, critical challenge of this century is how to make knowledge workers productive, measure their productivity, and keep them motivated and loyal.

Beugre (2002) identifies that knowledge workers value autonomy and individual freedom, flexible leadership, intellectual stimulation and need for achievement, and personal growth and continuous learning. Factors motivating knowledge workers and helping in their retention are quality and nature of work; increase in employability

through exposure to newer technologies and techniques; effective communication; enabling resources; gain / profit sharing; work culture that develops sense of purpose, direction, excitement, autonomy, and dignity.

Knowledge worker should be assigned a job that excites him / her. The work assigned should be challenging, meaningful and the knowledge worker should have ability and support to do assigned job. In short the work motivators for knowledge workers are challenge, excitement, variety, intellectual stimulation, opportunity to learn, and visibility.

Operational autonomy, freedom to plan and work independently, and flexible leadership motivate knowledge workers as they provide autonomy and personal freedom. In absence of sense of recognition, knowledge workers may not share their knowledge and expertise with other team members. Thus recognition, opportunity for self-actualization, respect, responsibility, a sense of relatedness will go a long way in building collaboration and sharing of ideas amongst knowledge workers. As people share experiences more freely in informal, self-organizing networks, to motivate knowledge workers management should facilitate formation and direction of community practice.

Building trust and increasing autonomy are very important for retaining knowledge workers and increasing their loyalty. Competitive salary coupled with bonuses and incentives are critical for motivated knowledge workers to remain loyal. Employee recognition used as a communication tool to reinforce and reward the most important outcomes knowledge workers create for the company goes a long way in retaining knowledge workers. Open, effective and continuous communication is a must for developing loyalty of knowledge workers.

Generally knowledge workers in developed world do not have noteworthy worries about basic needs like food, health, safety shelter, and belonging. However, they look for fulfillment of their needs for recognition, esteem and the opportunity for self actualization from their employers. Knowledge workers are self-focused and less interested in the traditional benefits such as job security and working conditions. As per Sajeva [15] traditional forms of reward at best can retain knowledge workers but fall

short in ensuring innovation and high performance. He cites study by Horwitz et al. to list popular motivating strategies for knowledge workers as 1) Freedom to plan and work independently; 2) Regular contact with senior executives; 3) incentive bonuses; 4) Challenging work; and 5) Top management support.

For motivating knowledge workers, it need to be understood and appreciated that different knowledge workers contribute different skills to organization and need to be managed differently depending upon individual's psychology and personality.

Sajeva [15] concludes in his research that 1) Freedom to plan work; 2) Challenging work; 3) Access to leading-edge technology/products; 4) Top management support; and 5) Ensuring fulfilling work are highly effective motivating strategies. Whereas 1) Flexible work practices; 2) employ large group of knowledge workers; 3) Generous funding for conferences studies; 4) Cash award for innovations; 5) Seek recruits who fit culture are least effective strategies.

As per Vora [67], participation, motivation, and development are critical for managing knowledge workers effectively in 21st century. Participation includes new employee orientation, mentoring, effective meetings, communication' and teamwork; Motivation includes recognition, suggestion system, theory of strengths, and empowerment; Development includes education and training, performance appraisals, employee satisfaction, coaching, and change management.

III.15 Issues and Shortcoming in current practices of PMS

Appraisal process being one of the critical steps in PMDS, failure of appraisal system directly impacts PMDS. Observations by some of the researchers on reasons for appraisal systems delivering suboptimal results are given below.

Some of the reasons for appraisal systems going wrong pointed out by Avery [6] are

1. **Halo & Horns**: often mentioned in the literature regarding job interviews but ignored when appraisal time comes around. The Halo and Horn effect is the appraiser's personal view of the appraised based on unconscious internal appraisal by the appraiser but not on cold hard facts. Two individuals both with exactly the same

production record can be given widely varying reviews based upon the perception of the reviewer skewing the results in favor of the particular personality type.

2. **Hearsay or Heresy**: One of the biggest issues in large organizations is history of the individual and like all histories it is written by the winners and not the losers. In an appraisal situation the history created around an individual can be very destructive and will influence the halo and horn effect.
3. **Good Cop / Bad Cop**: Consistency of the reviewer is quite important for quality of an appraisal system. However, except very small businesses, people are reviewed by different assessors. This creates impact of human variance.
4. **Respect**: In contrast to halo and horn effect this applies to the reviewer instead of reviewed. For any feedback to be accepted and effective it need to be consistent, timely and must come from a respected source.
5. **Feedback**: Often feedback and its counter-part Constructive Criticism get overused as ways of telling employees how they got it wrong, rather than what they got right. Often feedback focuses on bad behavior rather than reinforcing good behavior which is a better use of the processes.

As per Dick Grote [5], primary reason for failure of appraisal systems is managers' lack of understanding that the bedrock reason for writing honest, accurate and comprehensive performance evaluations is 'ethical responsibility. Other reasons pointed out by him are 1) environment under which current managers work that emphasis "do more with less"; 2) pressure to concentrate only on high-priority, high-payoff tasks; 3) lack of understanding about performance appraisal and fear of being hauled off to court specifically in the areas where quantifiable, numerical data to backup their judgment is not available; 4) scare of distasteful discussion that will follow after writing a less-than-stellar appraisal; 5) lack of understanding that purpose / goal of discussion on performance appraisal is to gain understanding and not agreement.

"Performance Appraisal – Educating Evaluators" [68] article concludes

- Generally, supervisors overrate subordinates performance giving subordinates a false sense of security and depriving them improvement opportunity. Poor employees are

evaluated as marginally competent, marginal employees are satisfactory, satisfactory employees as above standard and good employees as deserving a throne next to God.

- In most companies, supervisors start each evaluation from the scratch, instead of relating the current evaluation to the employee's prior performance appraisal. Hence, quite often deficiencies observed in past and still not corrected get overlooked. Such omissions are likely to give wrong signal to the employee that he has corrected the previous performance deficiency.
- Most supervisors have trouble finding the time to complete scheduled performance appraisal once a year. They probably will balk at the suggestion that they also perform informal mid-year review.

As per report by allbusiness.com [12], manager's lack of ability to assess employees and inadequate training on how to carry out a productive review are the reasons for failure of appraisal system. An untrained evaluator may:

- Have difficulty in gauging work that doesn't produce measurable results.
- Tend to stick to safer central tendency
- Rate behavior rather than work performance. An employee who's pleasant and always looks busy may cloud an appraiser's perception.
- Show bias towards employee that exhibit characteristics similar to their own.

As per Tim Jackson [20], performance appraisal often ties employees to a ranking on some sort of a rigid numerical scale. Nobody liked this even though it appeared appropriate in old command-and-control leadership style. Also as per him, sitting once a year to evaluate performance between boss and subordinate is not liked by many. In today's environment of increasing emphasis on teamwork, shared leadership, and an ongoing struggle to retain qualified employees this model is falling increasingly out of favor.

As per John Seddon [69] Rating employees does not get best out of them. Performance appraisal is a judgment rather than feedback; a judgment imposed by hierarchy.

Michael Bochenek [70]concludes "though performance appraisals are expected to be objective, employees often consider them unfair". A research on performance appraisals

in a telecommunication firm indicated that performance appraisals leave behind a lot of bitterness amongst employees. Managerial biases or loopholes in the appraisal process result in unfair appraisals. Employees expect recognition for their contribution, while Managers pass on the blame for mismatch between evaluation and expectations to limitations of the system. The most common complaint about performance appraisals is that employee effort does not match the performance band they are classified into. This dissuades them from putting in more effort. According to this report, other factors limiting fair appraisals are 1) Lack of Knowledge of productivity levels; 2) Inconsistent performance criteria based on manager's expectations / views; 3) Varied assignments within similar job titles; 4) Halo effects; 5) Distortion of facts due to condensing / summarizing data for convenience, perceptions; 6) Employee unions. According to Bochenek appraisal criteria is more critical than implementation of appraisal system in causing problems in getting desired results.

Lawrence [72] concludes that some employees consider PA system as a mask for the boss's 'hidden agenda', or that individuals will play politics to counteract the effects of the system and to advance their own interests. He cites Longnecker et al. observations that executives engage in manipulation in an intentional and systematic manner instead of objectivity and rationality as the appraisal process is emotional one and is impacted by organizational politics. According to them very few ratings are determined without some political consideration as main concern of assessors is to use appraisal process as best as possible to motivate and reward subordinates rather than accuracy of the process. Hence managerial discretion and effectiveness become the real watchwords rather than accuracy.

Brian [54] cited study by Pfeffer and Malcolm Gladwell to comment upon Forced Distribution System (FDS). According to study, FDS is dysfunctional and hazardous to an organization's culture and performance. Reasons for disapproving FDS are both philosophical and on the way it is generally done.

As per Arvind Sudarsan [73] subjectivity, bias and prejudice, leniency/strictness, secrecy, irrelevant items on form, ratee's ignorance of criteria, and recency bias are the primary

problems with performance appraisal. Also due to lack of clarity about potential appraisal concept, it gets confused with assessment of training requirements, placement, and yardsticks for performance.

Rao [74] cited studies by Mendonca; Shenkar; Virmani; Sinha; Kanungo; and Sparrow to conclude that in Indian context 1) ad hoc, biased, and stand alone PA practices jeopardize the productivity of work cultures, 2) employees regard PA judgments as unfair and withhold productive efforts as managerial appraisals do not distinguish between employee contributions and the limiting social, technical and environmental constraints on performance – over which the individual has no control, 3) integrated improvement of the HR quality system is threatened when Indian managers rely exclusively on subjective biases in PA and do not objectively evaluate and develop employees in order to reward and improve performance, or remove constraints to performance, and 4) Indian managers have been criticized for not involving employees in the PA process. He further refers to study by Lindsay to say that Indian managers tend to over / under control employees as Indian PA practices are not formally integrated into a quality performance-based HRM system.

On subjective & objective parameters for PA, Murphy [40] cites study by Landy to concludes, 1) many objective measures have low levels of reliability and show little Consistency across what should be equivalent indices; 2) objective measures of output, sales, and the like are available for a limited number of jobs; 3) objective measures of performance quite often exhibit criterion deficiency; 4) use of objective measures of performance tends to skew performance management and reward systems toward the countable, which can have adverse effects of performance.

Manoharan [75] cited studies by Oberg; Colby to conclude following as shortcomings of existing appraisal systems. (a) Not relevant to organizational objectives, (b) subject to personal bias, and (c) often influenced more heavily by personality than by performance. He has also quoted following shortcomings of the traditional performance evaluation in quality organizational environments as found by Dulewicz.

- Classifying the employees as inefficient without specifying areas for Improvement

- Failing to quantify the shortfalls of underperforming employees
- Failing to communicate the employees about the performance expectations
- The employees made responsible for non error free systems.

Gary Robert [76] concludes that absence of rater accountability strategies and organizational and supervisory resistance to honest subordinate feedback attenuates the effectiveness of participation. The main concerns about appraisals are 1) they assumes a false degree of measurement accuracy, 2) cause dysfunctional employee conflict and competition, 3) assigns an unwarranted amount of responsibility for poor performance to individual employee while failing to give due importance to overall work process and work group [76].

From above, one would observe that concerns on effectiveness of PMDS (here we are talking about PMDS for individual employee in the organization and also Considering Performance Appraisal / Performance Management in the same spirit as PMDS) are both basic and advanced in nature. 'Basic' ones include individual manager's ability and willingness to do justice with the laid down process, managerial biases, halo & horn effects, fragmented performance management system (stand alone 'what' and 'how' assessments, most often only one out of two), and loopholes in the system. And 'advanced' ones include organizational / environmental issues like availability of data at individual level, automation for integrating different aspects of performance, availability of time under current scenario of speed of change, manager's own stress level due to varied demands levied as a result of 1-2-3 concept (hire one, pay for two, and get the job of three), lack of long term continuity as a result of mobile work force specially for knowledge workers (ever on look out for next job, at times every year or less), forced banding of employees, and many times measurement criteria itself.

III.16 Remedial Measures for Shortcoming in current PMS practices

Though PMDS existed in different forms even 5 decades ago, but quite a few conceptual and operational developments have occurred in last 2 decades.

It has moved from an annual ritual to process for improving performance; from appraising to reviewing; from closed to open system where appraiser and appraisee jointly discuss; from measuring results alone to giving due importance to resources consumed, efforts put in relation to results, from top down approach to team approach; from rigid one type of approach for all roles and levels to flexible and customized system to manage role & level diversity; from owned & led by human resource function to facilitated by human resource function;

As per Gorte [77] by setting guidelines to be followed for appraisal reviews, organizations can make the process more meaningful, effective, and less tedious. He has suggested four phase process (performance planning, execution, performance assessment and performance appraisal) to improve outdated and oblique appraisal procedures.

Performance Planning: includes defining appraisal period, informing employees what (goals, objectives and results) and the hows (values, competencies and behaviors) of performance that would be assessed.

Execution: employees do the assigned job during the appraisal period manager provides support in terms of enabling conditions and motivation to employees to do their best. During this phase, manager should most importantly recognize and acknowledge employees' performance.

Performance Assessment: employees are required to list their work accomplishments and skills acquired during the appraisal period.

Performance Appraisal: discussions at the end of the assessment period to secure understanding (and not agreement) about how employee has done and gap if any between expected and delivered performance.

Fandray [71] stresses more on appraisal criteria than implementation of PAS. According to him appraisal criteria should aim at optimizing productivity, maintaining consistency and quality of performance. Criteria should address the tasks done to accomplish organizational mission. Defining criteria involves defining critical behaviors, skills, and attributes that employee is expected to posses and display. These should be clearly defined to set performance standards and communicated.

Linda Murphy [78] stress on performance improvement by coaching, feedback and the discussions between assessor and assessee rather than focusing on justifying rating. For positive experience feedback should be Factual, Accurate, Thorough and aimed at improving mutual respect through timely and effective communication. The Merrill Lynch approach incorporates 360-degrees feedback.

A checklist given by Grote [77] includes 1) Define goals clearly and provide performance criteria to achieve these goals; 2) Address personality issues; 3) Give constructive criticism.

As per Armstrong [2], the performance review discussion should provide the means to achieve five key elements of the performance management viz Measurement; Feedback; Positive Reinforcement; Exchange of Views; Agreement on Action Plans.

As per Mufeed [79] for effective and result oriented performance appraisal organization should focus on the process and the outcome appraisal variables. He adds, train managers to give specific and relevant feedback aimed at improving performance level of an individual and address the developmental needs.

Referring to performance management as a three-headed hydra, Grote [52] concludes that rarely a company succeeds in merging all three heads (one head wants to improve people's performance", another wants to help people grow, and the third wants to be a compensation and promotion mechanism) into one productive system.

Arriving at summary evaluations of performance over an interval of time requires the application of some integration rule, suggest JochenReb et al. [80].

Expected changes beautifully summed up by Sudarsan [73] in his study are as follows.

- Make the system more objective and improve the feedback process.
- Introduce a system that uses multiple sources of feedback including self, peer and 360-degree systems.
- Introduce potential appraisal process with method to disclose the results such that it could motivate the employee.

Gosselin [81] cited study by Folger et al. to conclude that both procedure followed and outcome of the appraisal system are important determinants of satisfaction and perceived fairness.

Doug Cederblom [82] stressed the need for 1) tying individual goals and performance to organizational goals and performance; 2) Incorporating TQM and core competencies into appraisal; 3) Move toward performance management to drive & manage performance toward organization objective

Jan P. Muczyk and et al. [43] conclude that it is possible and practical to create a Comprehensive Performance Appraisal System by combining three existing approaches (management by objectives, Behavioral Observation Scales, and Forced Choice Rating). This appraisal system is in consonant with the PM model proposed by them for Sales force to address serious deficiencies of existing practices that prevent them from effectively attaining major objectives in addition to being legally defensible and acceptable to the subordinates. It is pertinent to note that sales people form part of knowledge workers. Hence, this suggestion could be applicable for knowledge workers.

According to Arvind Sudarsan [83] though in order to rectify defects observed in top-down appraisal; assessing group performance and improve the internal working of teams organizations are increasingly using peer appraisals (as a standalone tool or as part of 360 degree assessment), they are unlikely to observe any improvement in their appraisal processes as peer appraisals lack concurrent criterion validity.

As per Sudarsan [37] in general target based appraisal methods will continue as they are believed to be fair and best. However, in other cases different methods to measure work achievement may be devised and permitted if they are generally valid and acceptable with no obvious shortcoming. According to him, in addition to results, how results are achieved (behaviours) should also be assessed as they help in diagnosis and corrections incase performance is lacking and also makes improvements considerably easier.

Hatry [84] by 2020, technology will greatly affect performance management or whatever it is called then. Technology will make available a mammoth amount of data and related

information on fingertips. Thus challenge will shift to select, streamline, channel, summarize, analyze, synthesize, and highlight that mammoth information in order to make better decisions.

III.17 Discussions on Literature Review

Various studies referred above without any doubts establish that performance appraisal is critical to performance management of any organization and is ridden by many shortcomings in its conceptualization and implementation. Subjectivity, bias and prejudice, leniency/strictness, secrecy, irrelevant items on form, ratee's ignorance of criteria, recency bias, manipulation in an intentional and systematic manner by executives, managerial discretion over accuracy and lack of objective differentiation as critical shortfalls / failures of performance appraisal systems in use. No doubt performance appraisals most often are seen as judgment imposed by hierarchy, unfair, mask for the boss's "hidden agenda".

Other findings from literature review are 1) Forced Distribution System is dysfunctional and hazardous to an organization's culture and performance. FDS is more often seen as unfair and resented by knowledge workers; 2) though 360 degree assessment was introduced mainly as a developmental tool, proliferation of its use as assessment tool is quite evident (Ginksa et al. [63] and David A Waldman et al. [65] confirm that under new work arrangement like flatter organizations this methodology is sound for both developmental or appraisals); 3) performance feedback intervention that provided comparative information about past performance with specific recommendations for improvement are likely to result in performance improvement and computer generated feedback information would be more effective as compared to feedback delivered by supervisor; 4) Performance appraisal faces critical challenges especially for knowledge economy where degree of interdependence for results is high and performers are knowledgeable, demanding and could be manipulative to achieve end results.

By definition performance is combination of behavior and results. However, various authors / researchers have taken partial view of performance as outcome or behavior while commenting / arriving at performance appraisal system. The appraisal methods

devised / used either assess performance outcomes (objective / quantifiable performance) or behavior / Traits and in some cases potential (subjective / judgmental aspect). There are adequate evidences in studies reviewed that point inadequacies of appraisal process based on any one performance measurement i.e. outcomes or behaviors. Apart from one research by Jan P. Muczyk et al. [43], who has suggested combining three MBO, BOS and Forced choice method, no other evidence could be located in which an attempt is made to combine objective and subjective parts of the assessment.

The above findings sumps-up need for integrated comprehensive performance management and development system. The system that can effectively 1) measure performance and indicate improvement areas; 2) comment on potential and traits of the employee and help identify relative improvement areas; 3) give overall ranking of the employee based on performance, potential & traits, and sharing from multi rater assessment process to act as compensation and promotion mechanism.

Hence a strong need is established to arrive at and test a performance appraisal system that is holistic in its approach, improves transparency and objectivity, and provides objective defendable differentiation without forced distribution practice especially with focus on knowledge workers.

Chapter IV Research Methodology

The research method was determined by the indigenization of this study. The nature and methods of data collection involved use of secondary and primary sources. The study is aimed at meeting two objectives viz. 1) Studying current PMS in vogue and their shortcoming in addressing needs of knowledge workers; and 2) Designing and empirically testing a new model for performance appraisal that would address comprehensive performance and shortcomings of current systems. Different methods employed for data collection are literature review, questionnaire based survey, focused discussions (in person and telephonic), and a "case study". Various sampling techniques like purposive, random, quota based sampling based on suitability and feasibility have been used for the collection of primary data. Statistical tools such as frequency distribution, standard deviation, and correlation factors are used to analyze the data. Key word analysis technique is used to synthesize data collected during focused discussions.

IV.1 Secondary Data Collection

Secondary Data to build understanding of existing performance appraisal systems, factors that affect appraisal, characteristics of knowledge workers is collected through a detailed literature review of 1) books and 2) research papers published in journals of repute relating to following topics.

1. Understanding of performance management and development.
2. Principles of performance management
3. Steps involved in performance management
4. Performance appraisal and appraisal criteria
5. Types of assessors / raters
6. Various appraisal methods in use
7. Work done by T V Rao, UdaiPareek, Michael Armstrong and Peter Drucker
8. Types of competencies and competency characteristics
9. Absolute, Relative Evaluation and forced distribution system
10. Balanced Scorecard concept
11. Potential and Traits

12. 360 Degree Appraisal
13. Performance Feedback
14. Knowledge workers – concept, characteristics and motivation factors
15. Issues and shortcomings in current practices of PMS
16. Suggested remedial measures for shortcoming in current practices of PMS

For achieving this, various researches relating to the above topics published so far by various international journals covered by online database service were searched. Focus was to find any published report relating to the above topics that cover knowledge workers. For searching relevant report various permutations and combinations of key words like "Evolution of Performance appraisals"; "Performance Appraisal for Knowledge workers"; "Knowledge Workers"; "360 Degree Appraisals"; "Behaviors, Traits and Performance Appraisals"; "Forced Distribution System and Performance Appraisal"; "Balanced Scorecard and Performance Appraisals"; "Performance Feedback"; "MBO" etc. were used to extract relevant research reports published mainly by academic research journals with full text available. Many of these combinations at first level gave more than 100 research papers. Further, based on relevance of title and reviewing "abstract" of research papers final selection was done. On an average it was decided to search at least five relevant research papers on the topics. However, in few cases investigator had to be contended with lesser numbers. Also work published by T V Rao, UdaiPareek, Michael Armstrong and Peter Drucker was searched through "author search" facility of the online database. Three features viz. full text search, title search and author search were extensively used to screen and shortlist relevant research papers. Also extensive review of books published on performance management or performance appraisal available at TISS – Mumbai library was undertaken. Refer Chapter III for details of literature review.

IV.2 Primary Data Collection – PMS Inventory Survey

Primary Data on prevailing practices and issues for performance management in knowledge economy in India was collected through a "PMS Inventory Survey". It was planned to capture details on current PMS practices and where they fall short, its

effectiveness in improving overall performance, satisfaction level with current practices, problems / difficulties faced and KW's perception about PMS. This survey was also utilized to examine knowledge worker's perception on attributes that drive ability to perform, potential to grow and ability to change. This information is utilized for designing the new model.

Steps followed in designing and managing the survey are given below.

1. Shortlist of parameters to be covered in PMS inventory survey keeping in mind complete study. Following parameters were shortlisted.
    a. Respondent profile (Geographic location, Industry segment, Function (HR or Non-HR), Gender, Age, years of experience)
    b. Performance management practices in use – existence, levels covered, process variation if any for different levels covered, methods used (written essay, behaviors observed, results achieved, assessment against preset targets, BSC approach, any other method; pear, subordinate views, 360 degree appraisal)
    c. Assessment parameters for outcomes, traits and potential (year end achievement, achievement against pre set targets, efforts, ability to perform, potential to grow and ability to change)
    d. Goal setting by (Senior manager, Line manager / team leader, HR professional, Employee, appraiser and appraisee, Others)
    e. Practice of giving overall rating and use of forced normalization process for giving overall rating / ranking
    f. Performance feedback practice (existence and type)
    g. Process of identifying training and development needs
    h. Problems and difficulties faced (difficult situations, psychological barriers, reasons for failure)
    i. Employee perception on performance management (it is deadly disease, it distracts from more important activities, can it be done objectively, and success factors)
    j. Employee acceptance of self appraisal, participative PMS and forced normalization)

k. Effectiveness of current PMS in improving overall performance
l. Likelihood of changes in current practices of PMS
m. Satisfaction level with current PMS
n. Appropriateness of chosen attributes for ability to perform
o. Appropriateness of chosen attributes for potential to grow
p. Appropriateness of chosen attributes for ability to change
q. Need of performance management (why it is done in your organization)
r. Differences in PMS and PAS
s. How are rewards linked to PMS
t. Who should own the PMS
u. Consequences of poor performance

2. Finalizing the parameters of PMS inventory survey: Shortlisted parameters were discussed with three experts one each from academia, consultancy and industry practitioners. Experts were chosen based on purposive sampling technique. Subsequent to discussions with three experts parameters mentioned at 'q to u' were dropped as they were not found relevant to study needs. Also some of the elements under some of the parameter were made sharper or dropped e.g. elements like paired comparison method and graphic rating scale were dropped from parameter 'b' (Performance management practices in use).
3. Drawing the questionnaire with shortlisted parameters and their elements such that responses could be captured for analyzing frequency distribution with ease. Questionnaire had 28 items covering parameters such as Current practices; Feedback and Development Need Identification; Difficult Situations, Psychological Barriers, Causes of Failure; Employee Perception about PM; Satisfaction Level with current Performance Appraisal and acceptance level of forced normalization practice by target audience and one open ended question for giving any other comment on PMS practice within the organization. At this stage an excel sheet was drawn to consolidate responses received and get frequency analysis on each item of the questionnaire – organization-wise and overall. Refer Appendix 2 for the questionnaire.

4. To examine if the items in the questionnaire would be understood by likely respondents appropriately, a pilot run was done with five employees from Aptech Ltd. and responses analyzed for clarity in understanding the questions. Also, respondents were asked about ambiguity noticed if any. Selection of Aptech Ltd. and five employees for pilot run was based on purposive sampling method.
5. For conducting the Survey 26 organizations from different segments of knowledge economy (IT / ITES, Insurance & Banking, Energy, Brokerage house, Telecom, Logistics & Supply Chain Management, and Education sectors) were contacted and their HR contact person explained about the process and sought assistance in conducting the survey. The knowledge economy segments and organizations were chosen based on purposive sampling technique.
6. Of 26 organizations contacted, eleven are from IT / ITES, four from Insurance and Health Care, four from Education segment and seven from various segments like Energy, Brokerage house, Telecom, Logistics & Supply Chain Management and pharma. IT / ITES organizations had much higher (almost 40%) share as by and large this is dominant and driving segment of knowledge economy.
7. Each organization was assured of confidentiality of the data received and use of the data only for the purpose stated.
8. Of these 26 organizations contacted 17 agreed to extend help for conducting the survey. Of these 17 organizations, five organizations are from IT / ITES, four from Insurance and Health Care, three from Education and five from other segments of knowledge economy. Non Participating organizations had two main reasons for not participating viz a) Management policies do not permit external agency to collect any data from employees; b) The questionnaire is likely to create undue expectations amongst employees regarding changes in PMS practices. List (in alphabetic order) of organizations contacted; participated; sent less than five responses or refused to participate are given below in Table 4.1.
9. The contact person in each organization who agreed to help was explained the complete objective of the research and process of survey and given soft and hard copy of the survey questionnaire. He / she was requested to administer survey questionnaire on 15 employees selected randomly such that the sample must have

some (and not all) employees from HR function of the organization i.e. stratified random sampling technique. Copy of detailed letter sent to contact person is attached at Appendix 1.

10. Respondents within the organization were identified and selected by respective organization, explained the task and asked to give their responses.
11. Follow-up with each organization who agreed to help for getting responses. Despite repeated follow-up two organizations did not send any response, while four organizations sent three or less responses each and balance thirteen organizations sent responses ranging from five to sixteen each making overall 139 responses. Most of the responses were received in softcopy form.
12. All respondents from the organization were sent to contact person of the organization, who in turn forwarded the same to the investigator.
13. All responses received were fed to excel-sheet drawn (refer point 3 above) to carryout frequency analysis. For analyzing organization-wise frequency distribution, responses from four organizations that sent three or less responses each (totaling to six responses) were considered as one organization. While analyzing data organization-wise, for the sake of confidentiality organization identity has been changed.
14. Geographical spread of respondents though spanned across southern, western and northern belt of India is predominantly (76 %) from Mumbai. Location-wise spread of respondents is given in Table 4.2
15. Respondents are well distributed amongst IT / ITES, Insurance & Health care, Education, and other (energy, brokerage house, telecom, logistics & supply chain management) segments of the knowledge economy. Details of Industry-wise distribution are given in Table 4.3. Function-wise distribution (HR and non-HR) of respondents is given in Table 4.4.
16. Gender, age distribution of respondents is given in Table 4.5, and years of experience distribution of respondents is given in Table 4.6. Since, 96% respondents have more than 2years of experience it is fair to assume that they would have been exposed to PMS.

Table 4.1: List of organizations participated; sent less than four responses or refused to participate for PMS Inventory Survey

Organizations agreed to participate	**Organizations sent less than four responses**
1) Aptech Limited; Mumbai	1) Bharti Centrum; Delhi
2) ASK Ltd; Mumbai	2) Capgemini; Mumbai
3) BhartiAxa; Mumbai	3) Mahindra & Mahindra; Mumbai
4) Blue Dart: Mumbai	4) Siemens; Mumbai
5) Doyen Infosolutions; Mumbai	**Organizations refused to participate or did not send any response**
6) Health Prime International; Mumbai	1) Aegis Ltd; Mumbai
7) ICICI Prudential; Mumbai	2) Bayers India; Mumbai
8) Mastek; Mumbai	3) e4e Ltd; Chennai
9) Reliance Energy; Mumbai	4) First Source; Mumbai
10) Reliance General Insurance; Jaipur	5) Future Education; Mumbai
11) Repro Ltd; Mumbai	6) Patani Ltd; Mumbai
12) Sify Corp; Chennai	7) Reliance Communications; Mumbai
13) Yogi.Com; Delhi	8) Tata Consulting Engineers; Mumbai
	9) WNS; Mumbai

Table 4.2: Geographical Spread of Respondents for PMS Inventory Survey:

Sl. No.	Location	%. Of Organizations	% Of Respondents
1	Mumbai	76%	76%
2	Chennai	6%	7%
3	Delhi	12%	10%
4	Jaipur	6%	7%

Table 4.3: Industry-wise Distribution of Respondents for PMS Inventory Survey:

Industry Distribution (% of respondents)	
IT / ITES (5 organizations; 37 nos.)	27%
Insurance & Health Care (4 organizations; 33 nos.)	24%
Education (3 organizations; 31 nos.)	22%
Others (5 organizations; 38 nos.)	27%

Table 4.4: Function-wise Distribution of Respondents for PMS Inventory Survey:

Functional Background (% of Respondents)	
HR – 36%	Non HR – 64%

Table 4.5: Gender & Age Distribution of Respondents for PMS Inventory Survey:

Gender Distribution		Age Distribution	
Male	66%	25 – 35 years	76%
Female	34%	35-45 years	21%
		46+ years	3%

Table 4.6: Years of Experience Distribution of Respondents for PMS Inventory Survey:

Years of Experience (% of respondents)	
Less Than 1 year – 4%	5 – 7 years – 26%
2 – 4 years – 19%	More than 7 years – 51%

Refer chapter V for detailed Findings.

IV.3 Designing P&T Measurement Tool – Focused Group Discussions

Methodology followed to design Potential & Traits Measurement Tool is given below

1. Study of appraisal forms of three leading organizations which had potential and trait assessment as part annual appraisal and consolidating various attributes covered in these forms.
2. Understanding general potential assessment practice followed by these organizations.
3. A focused group discussion with a group comprising of all functional heads (ten in number), the then CEO & MD of Aptech Ltd., and an external consultant who was assisting Aptech in its strategy formulation and implementation. This process had taken place when Aptech Ltd was revisiting its performance appraisal system. Focused group discussion was aimed at
    a. Getting views on attributes to be included for assessment based on their relevance for an organization in knowledge economy.
    b. Grouping the shortlisted attributes in three categories i.e. attributes felt more relevant for ability to 1) perform the tasks at hand; 2) do higher level tasks then currently being done / potential to grow; 3) perform cross functional tasks / change initiatives within the organization.
    c. Deciding architecture of P&T measurement tool consisting
    d. Method to measure each attribute (Refer Chapter VI for Findings)
4. Pilot test of the tool was done on a group of 50 employees from middle and top management team at Aptech Ltd. Results obtained (Areas of strength and opportunities for improvement report (Appendix 13) were discussed with concerned officer and their immediate superiors.

IV.4 Empirical Testing of Acceptability of Proposed Model – Focused Discussions

Focused Discussionsapproach was followed to empirically test acceptability of proposed model by experts from academia, consultancy and industry practitioners. Literature review indicates that this is first of its kind exploratory study with the concept of arriving at overall performance number for every individual based on objective assessment (OA), subjective impression (SI) and sharing (S) to rank the group of knowledge workers for

reward, recognition and generate feedback form for development purposes. There is no prior taxonomic work on the concept that could be located from literature review. Hence, it is essential to empirically test acceptability of the concept and its parameters by experts (persons of eminence with experience in PMS / related area) and target audience i.e. knowledge workers.

This was achieved in two parts. One, Examining the acceptability of attributes selected to measure ability to perform (knowledge, planning ability, communication skills, analytical skills, customer orientation, result orientation); potential to grow (decision making skills, self development, initiative and motivation, leadership qualities and winning instinct); and ability to change (creativity, team spirit, interpersonal skill, people development) by target audience i.e. knowledge workers. This was done as part of "PMS inventory Survey" mentioned above. Details of the finding are covered in chapter V.

Two, Examining the acceptability of the concept, experts views in systematic way based on focused discussions and responses through questionnaire were collated and analyzed. For this following steps were followed.

1. A list of members of expert panel to be contacted was drawn considering equal number of members from academia, consultancy and industry practitioners. The experts were selected carefully based on their position and years of experience in the domain. These three areas were deliberately chosen to get wide variety of feedback based on background of the expert. This would help understand 1) how academicians look at soundness of the concept based on their theoretical understandings; 2) how consultants look at its soundness as practicing researcher / academicians; and 3) how industry practitioners look at its soundness based on their exposure to managing PMS issues in day to day management. The expert panel was drawn based on purposive quota sampling technique.
2. Initially it was planned to get responses from five members from each category of experts. However, as the research progressed and motivation received from initial meeting with experts, finally feedback from overall 33 experts (10 from academia, 11 from consultancy and 12 from industry practitioners) was collected. Industry

practitioners identified are largely CEO, MD or HR Head in respective organization. Consultants were identified based on their profile and acquaintance with them. Experts from academia were identified based on their area of specialization. Brief profile of each expert is given in (Appendix 15). List of experts' panel in alphabetical order is given in Table 4.7.

3. Each expert was assured of confidentiality of the views received and use of the views only for the purpose stated.
4. In order to capture the experts' views 1) a power point presentation to explain the concept and research 2) a questionnaire to capture their views in a structured form were developed. The questionnaire had 18 items on which expert was required to give his / her views on four point scale (Strongly disagree, Somewhat disagree, Somewhat agree, Strongly agree) and four open ended items to capture their views on 1) concept of combining three aspects i.e. objective assessment, subjective impression and sharing to arrive at overall performance number; 2) "OASIS" model for performance appraisal; 3) Practical application of "OASIS" model; and 4) Approach of ranking through "OASIS" number as against forced normalization process. Refer Appendix 3 for detailed questionnaire.
5. Four point scale was deliberately chosen so that expert takes a clear stand on agreement or disagreement with the concepts discussed. This is essential for analyzing acceptability of the concept. Clear intention was to avoid any middle path answer on any of the items.
6. The questionnaire had following parameters
    a. On the present system
        - Challenges in measuring the knowledge worker job and the different reasons for the same
        - Status of the present performance management systems in meeting knowledge workers' job requirements
        - Acceptance level of forced normalization by knowledge workers
    b. On the "OASIS" model
        - Importance of measuring lead and lag indicator for knowledge workers' job performance

- Need for a comprehensive model and ability of comprehensive KRA framework to improve PMS
- Appropriateness of attributes selected for potential and trait measurement tool for measuring ability to perform, potential to grow, ability to change; and method of measuring integrity.
- Ability of potential and trait tool to reduce subjectivity
- Effectiveness of "overall competence number" in assessing overall potential and traits of the knowledge worker
- Effectiveness of "OASIS" number in assessing overall performance
- Relevance and the practical applicability of the "OASIS" model and its components
- Relevance of ranking through OASIS Number rather than forced normalization.

7. Process of capturing experts' views included 1) contacting (telephonically) to explain the purpose of meeting; 2) seeking his / her consent to be part of research and share his / her views; 3) sending a detailed letter along with power point presentation and questionnaire through e-mail; 4) Detailed discussions (in person / telephonically as per convenience of the expert) on the concept and handling his / her queries; 5) seeking their response on the questionnaire (hard / soft copy form as per experts' convenience). 17 experts were met in person and 16 were contacted telephonically for detailed discussions.
8. An excelsheet was developed for analyzing frequency distribution of experts' opinion category-wise (academia, consultants, and industry practitioners) and overall to examine acceptability and relevance of the concept and various elements of the "OASIS" model. All responses received were fed to excelsheet and frequency distribution of 18 items analyzed. Four open ended questions were analyzed with key word analysis approach responses categorized. Refer chapter VI for Findings.

Table 4.7: Members of Experts Panel who commented on "OASIS" Model

Academicians	Consultants	Practitioners
Dr. BijuVarkkey	Mr. GinilShirodkar	Mr. AashuCalapa
WgCdr B S Mahal (Retd)	Mr. IndruBalchandrani	Mr. AkshayBandhu
Dr. C M Ramesh	Mr. Kumar Jagtiani	Mr. AshishGakrey
Dr. H Buhril	Mr. Radhakrishna Menon	Mr. Anuj Kackker
Prof. K V Ganpati	Mr. Rajesh Kamat	Dr. Hemjit Bala
Dr. NiharikaVorha	Dr. RajnishKarki	Ms. KalpanaJaishankar
Dr. SatishPai	Ms. RajashriHazare	Mr. Mathew Thomas
Dr. S M Khopkar	Mr. SumanJha	Mr. Muralidhar Rao
Dr. Vijaya Sherry Chand	Dr. T V Rao	Dr. PramodKhera
Dr. VipulVyas	Mr. Umesh Raj	Mr. Rajeev Bhadauria
	Mr. VinitTaneja	Mr. Ravi Kumar
		Mr. ShouryaChakravarty

IV.5 Empirical Testing of Validity of the Proposed Model – Case Study

In order to study effectiveness of the proposed model "OASIS" in its application, a case study approach is followed. Aptech Ltd was selected for the case study based on purposive sampling technique. As implementation of the "OASIS" model would be time consuming and involved exercise needing a lot of commitment from the officer managing it, Aptech Ltd. was chosen. Being an employee of Aptech Ltd. investigator could persuade the HR head to take up the model as a case study. Further, investigator's own experience with the organization and its people was seen as an advantage in ensuring the completion of the exercise in fair and time bound manner. As this aspect is quite critical for the overall research, Aptech Ltd for shortlisted for the case study. Case study was divided into two parts. One: collecting, collating and analyzing performance data for test groups. Two: discussing case study data and outcome with concerned departmental heads and seeking their opinion through questionnaire having 11 open ended questions (Appendix 4).

For conducting part one of the case study following steps were followed.

1. It was decided to test the model on at least 60 knowledge workers from four different groups with minimum of 15 employees per group. During the survey of published literature it is observed that the sample size of 15 per group and at least two groups for checking variance if any would suffice. (The group sizes seem to be in accordance with Russell et al. (2006) who mention groups of six or seven members and Valle and Davis (1999) who had an average group size of 6.3 [83].)
2. However, with the expectation of a better insight into the case study it was planned to have four groups with minimum of 15 members per group.
3. The complete research, importance and desired process of the case study were discussed with HR Head and his consent sought for the case study. DGM – HR (Aptech Ltd.) was nominated as process owner for the case study by HR Head (Aptech Ltd.). DGM – HR involved two of his team members in coordinating the case study and effective completion.
4. Complete research and process of case study was explained to DGM – HR and his two team members.
5. A linked excel sheet was created to arrive at "OASIS" number for evaluating data received for every employee of the test group. This excelsheet was also given to the DGM – HR to ensure consistency and accuracy in data compilation for every employee of the test group. This excelsheet had following worksheets for elemental and overall analysis as follows.
    a. Computing "Target Achievement Ratio" based on objective assessment
    b. Computing "Overall Competence Number" based on subjective assessment. This needed three worksheets to be linked 1) potential and traits raw data sheet as received from assessors; 2) attribute-wise analysis of the data received; 3) final worksheet giving calculations of a) ability to perform stage number; b) potential to grow stage number; c) ability to change stage number; and d) overall competence number.
    c. Potential and Trait Feedback analysis and report for discussions worksheet
    d. Computing Sharing factor from the data of 360 degree assessment
    e. Computing overall "OASIS" Number

6. Investigator along with DGM – HR met seven departmental heads (shortlisted based on relevance of their team for case study i.e. teams dominated by knowledge workers) and explained them the research importance and process of carrying out case study. Four departmental heads agreed to extend the complete support. Thus, their departments were finally chosen for being part of the case study. Employees from the department were selected based on availability of their performance appraisal data through legacy system (i.e. system followed by Aptech Ltd.). Overall 69 employees in four departments viz. Academics, Attest, Learning Services and Training Solutions were shortlisted for the case study. Case study was done during August – September 2010 after completing normal round of PA as per prevailing system (Legacy System) to avoid any miscommunication / misunderstanding amongst employees of the test groups.
7. Each employee of the test group was explained the process and informed that this assessment round is a case study for the research purpose and will not have any bearing on their earlier assessment done.
8. DGM – HR and his team was coached for completing and compiling assessment data for two cases. Rest of the case study data collection and compilation was done by DGM – HR and his team.
9. DGM – HR submitted 69 excelsheets (one per employee of the test groups) and details of performance data as per legacy system for each of these employees to the investigator.
10. Another excelsheetwas created for analyzing data received and arrived at performance groups based on percentile approach per department and comparing it with legacy data.
11. Test Data obtained from OASIS was analyzed statistically to study standard deviation, and correlation between following.
    a. Standard Deviation for Number of employees in each Performance Group (PG) : Required, Actual by legacy system, and by “OASIS” model. This will enable understand extent of differentiation made between employees based on performance assessment by two systems viz legacy and “OASIS” Model.

b. Correlation between PGs based on KRA Rating v/s Normalized Rating under Legacy system to understand degree of subjective judgment applied by appraiser / reviewer to arrive at overall rating
c. Correlation between OASIS Number v/s Legacy KRA Rating. This would enable understand relationship between two results one, obtained from KRA ratings and another by OASIS number in other words extent of variance in result brought in by OASIS number. Quality of variance brought in by OASIS number would be reflected by departmental heads comments on the results obtained through OASIS number.
d. Correlation between PGs based on OASIS Ranking v/s Legacy Normalized Rating to enable understand extent of variance in result brought in by OASIS number. Quality of variance brought in by OASIS number would be reflected by departmental heads comments on the results obtained through OASIS number.
e. Correlation between PGs based on OASIS Number v/s "TAR" under "OASIS" Model to enable understand extent to which overall OASIS Number is related to its component "TAR" (Target Achievement Ratio)
f. Correlation between PGs based on OASIS Number v/s "OCN" under "OASIS" Model to enable understand extent to which overall OASIS Number is related to its component "OCN" (Overall Competence Number)
g. Correlation between PGs based on OASIS Number v/s "I Factor" under "OASIS" Model to enable understand extent to which overall OASIS Number is related to its component "I Factor" (Integrity Factor)
h. Correlation between PGs based on OASIS Number v/s "S Factor" under "OASIS" Model to enable understand extent to which overall OASIS Number is related to its component "S Factor" (Sharing Factor)

On the whole, analysis will help in understanding value addition by "OASIS" Model and by each element (viz. OA, SI, I Factor and 360 degree feedback) of "OASIS" model.

Comparative analysis of results obtained through legacy system and through "OASIS" model is given in chapter VII. For the purpose of confidentiality, departments are referred as Department 1 to 4; and employees from E1 to E80. In above analysis, Performance

Groups means cluster of employees for a specific performance level. As per company norms PGs are defined viz. top 10%, next 20%, next 40%, next 20%, and bottom 10%. In the analysis same distribution is considered while arriving at 1 to 5 PGs with 5 being top 10% and 1 being bottom 10%. However, while arriving at PGs no differentiation is made between two employees with same score of the parameter on which PGs are defined even if it means defined percentage per group is affected. In such a situation employee is put in PG where first employee with the same score falls.

For conducting part two of the case study, following steps were followed.

1. Meeting departmental heads one on one and explaining the results obtained highlighting the variances of the outcome of the case study results and legacy performance data.
2. Seeking their queries on the results of the case study and answering the same based on the rich data obtained through case study.
3. Seeing their views on each element of the results obtained through case study. For this a questionnaire with eleven open ended items was given to each departmental head and his views sought (refer Appendix 4).
4. Each departmental head was assured of confidentiality of the views received and use of the views only for the purpose stated. For the sake of confidentiality department heads are referred as a, b, c and d and order are not same as Department 1 to 4.
5. Views received from four departmental heads were analyzed based on key words analysis approach. Refer chapter VII for details.

CHAPTER V: FINDINGS ON PMS PRACTICES AND EMPLOYEE PERCEPTION IN KNOWLEDGE ECONOMY

V.1 Current PM Practices

This section explores existence and levels covered under performance appraisal; practices across levels; appraisal methods in use; prevalence of considering peer, subordinate views and 360 degree appraisal for assessment; assessment parameters for results, potential & trait; goal setting practices; and practice of giving overall performance rating in surveyed companies.

- **Existence of Performance Management Practice:** 99% of respondents confirmed that their Organizations have a formal performance management process.

- **Levels Covered under PMS:** Respondents had option to give multiple choices. % of respondents confirming inclusion of a particular level under formal performance management system organization-wise and overall is given below in Table 5.1 from which it can be observed that
  - Within the same organization, employees have given different information indicating not a uniform level of understanding / awareness about levels covered under PMS
  - Majority of respondents from 57% of the organizations confirmed presence of formal performance management system across various levels and that from 29% of the organizations indicated its presence mainly for senior levels. Whereas respondents from 7% of the organizations indicated that formal PMS exists predominantly for middle management (team leaders) and from 7% of the organization indicated lower probability of its existences for senior management.
  - From above it could be observed that almost all levels are covered in most of the organizations.

Table 5.1: Findings – Levels Covered Under PMS:

Organization	% of Respondents					Total Resp-onde-nts (nos)
	Senior Mana-gement	Other Managers / Project Managers	Team Leaders / Cons-ultants	Technical Staff / Support Staff	Business Development / Commercial Staff	
ORG – 1	100%	93%	100%	100%	100%	15
ORG - 2	100%	100%	100%	100%	100%	6
ORG - 3	80%	70%	60%	50%	50%	10
ORG - 4	100%	73%	36%	45%	45%	11
ORG - 5	100%	75%	75%	75%	75%	4
ORG - 6	11%	33%	89%	11%	33%	9
ORG - 7	100%	50%	17%	17%	17%	6
ORG - 8	45%	91%	91%	91%	82%	11
ORG - 9	100%	100%	100%	89%	100%	9
ORG - 10	83%	33%	17%	17%	17%	6
ORG - 11	67%	53%	47%	73%	40%	15
ORG - 12	89%	100%	89%	89%	89%	9
ORG - 13	100%	100%	100%	100%	100%	9
ORG - 14	100%	100%	100%	100%	100%	6
Overall	82%	77%	74%	71%	68%	126

- **PMS Practice across Levels:** Table 5.2 gives % respondents organization-wise and overall on whether performance management process is same or different across levels within the organization from which it can be observed that
  - Within same organization, employees have given differential information indicating not a uniform level of understanding / awareness about types of PMS across levels
  - Most of the respondents in 86% organizations have indicated that performance management practice followed within the organization is same across various levels whereas most of the respondents from 7% of the organizations have

indicated that performance management practice followed within the organization differ across various levels. In 7% of the organizations response is 50:50.

- Based on qualitative comments given by respondents, it can be inferred that different KPIs are mainly seen as differences in PMS practice across levels.
- However, it could be seen that overall 77% of respondents feel that same PMS is practiced across the levels

Table 5.2: Findings – PMS Practice across Levels:

Organization	% of Respondents		Respondents
	Same Across Levels	Different across levels	Total (nos)
ORG – 1	93%	7%	15
ORG - 2	100%	0%	10
ORG - 3	50%	50%	10
ORG - 4	79%	21%	14
ORG - 5	83%	17%	6
ORG - 6	40%	60%	10
ORG - 7	100%	0%	6
ORG - 8	55%	45%	11
ORG - 9	100%	0%	8
ORG - 10	100%	0%	7
ORG - 11	63%	37%	16
ORG - 12	80%	20%	10
ORG - 13	88%	12%	8
ORG - 14	83%	17%	6
Overall	77%	23%	137

- **Appraisal Methods Used:** Respondents had option to give multiple choices. From the responses it appears that within same organization different practices are followed perhaps depending upon assessor. Table 5.3 gives % of respondents confirming inclusion of a particular appraisal method organization-wise and overall.

Table 5.3: Findings – Performance Appraisal Methods in Use

Organization	Number of Respondents					
	Written Essay Method	Rating Behaviors Observed	Rating Results achieved	Assessing results against preset targets	BSC approach to KRAs and Achievem-ent	Any Other
ORG – 1	0%	7%	53%	47%	33%	0
ORG - 2	10%	10%	10%	30%	80%	0
ORG - 3	20%	40%	80%	50%	60%	0
ORG - 4	0	15%	77%	54%	31%	8%
ORG - 5	0	33%	50%	17%	0	0
ORG - 6	0	40%	100%	40%	0	0
ORG - 7	0	33%	67%	50%	67%	17%
ORG - 8	10%	30%	60%	80%	40%	0
ORG - 9	0	0	11%	78%	33%	0
ORG - 10	0	0	43%	14%	57%	14%
ORG - 11	0	0	38%	38%	50%	0
ORG - 12	0	25%	50%	63%	13%	0
ORG - 13	22%	22%	33%	22%	67%	11%
ORG - 14	0	33%	33%	67%	33%	0
Overall	3%	19%	51%	47%	41%	2%

From the Table 5.3 it can be observed that

- Written Essay approach is reported by 22% or lesser of respondents from 29% of organizations whereas 18% or lesser of respondents from 29% of the organizations have reported methods other than listed methods of appraisal.
- “Rating behaviors observed” is reported by overall 19% of the respondents from 79% of organizations confirming its presence though at much lesser scale.
- 50% or more of the respondents from more than 57% and 50% of the organizations indicated “rating results achieved” and “assessing results against preset targets” respectively as practiced methods, making them top two prevalent methods.

- 50% or more of the respondents from 43% of the organizations indicated “BSC approach to KRAs and achievement” as practiced methods.
- This indicates that Rating Results achieved is most popular approach for performance appraisal followed by Assessing results against preset targets and BSC approach to KRAs & Achievement methods.

- **Peer, Subordinate Views, and 360 Degree appraisal for Assessment:** Table 5.4 gives details of respondents confirming presence of practices like taking peer’s views, subordinates’ views, and 360 degree appraisal for assessment.

Table 5.4: Findings – Considering Peer’s, Subordinates’ Views,360 degree assessment for Appraisal:

Organization	% of Respondents saying Yes to		
	Peer Views Taken	Subordinate Views Taken	360 Degree
ORG – 1	40%	33%	21%
ORG - 2	90%	60%	50%
ORG - 3	40%	40%	10%
ORG - 4	43%	29%	9%
ORG - 5	50%	33%	17%
ORG - 6	10%	10%	11%
ORG - 7	100%	100%	100%
ORG - 8	9%	0%	9%
ORG - 9	11%	11%	11%
ORG - 10	14%	14%	33%
ORG - 11	25%	6%	7%
ORG - 12	30%	30%	0
ORG - 13	44%	11%	0
ORG - 14	17%	0%	33%
Overall	36%	25%	18%

From Table 5.4 it can be observed that

- 50% or more respondents from only 21%, 14% and 14% of the organization reported existence of the practice to take peer views, subordinate views, and 360 degree appraisal respectively.
- Overall less than one third respondents reported prevalence of peer views, subordinate views, and 360 degree appraisal for assessment in the organizations. This indicates scant use of these practices.
- Differential information is given by employees from the same organization indicating either inadequate awareness about it within the organization or variance in practices within the organization.

- **Assessment Parameters:** Respondents had option to give multiple choices. Table 5.5 gives details of the findings from which it can be observed that.
  - Higher % of respondents from 85% of the organization have indicated prevalence of measuring performance against preset targets whereas only from 14% of organizations higher % of respondents indicated prevalence of measuring achievement at the end of the year.
  - 60% and more respondents from 43% of the organizations indicated efforts put in during the assessment period as a measuring parameter.
  - "Ability to perform" and "potential to grow" as assessment parameter were reported by 50% and more respondents from 100% and 78% of the organizations respectively. Whereas "ability to change" as assessment parameter was reported by 50% and more respondents from only 36% of the organizations.
  - Overall 88% respondents reported measuring performance against preset targets where as 61% and 43% reported measuring achievement at the end of the year and efforts put in during assessment period respectively as measurement parameters.
  - Overall 76%, 66% and 37% of respondents reported "Ability to perform", "potential to grow", and "ability to change" respectively as measuring parameters.
  - From above, it can be observed that Results, Potential & Traits are assessed in most of the cases; and Performance against Preset Targets is the most preferred

method for measuring Results. Measuring results through achievement at the end of the assessment period and efforts put in during the assessment period are also in vogue.

- Ability to perform is the most preferred method for measuring Potential & Traits followed by Potential to Grow.

Table 5.5: Finding – Assessment Parameters – Results,Potential & Traits

Organization	% of Respondents					
	Results			Potential & Traits		
	Performan-ce against Preset Targets	Achieve-ment at the end of the year	Efforts put in during assessment period	Ability to Perform	Poten-tial to Grow	Ability to Change
ORG – 1	93%	27%	20%	100%	36%	21%
ORG - 2	80%	60%	70%	50%	88%	50%
ORG - 3	100%	80%	60%	67%	78%	44%
ORG - 4	86%	93%	71%	64%	86%	29%
ORG - 5	1000%	0	0	80%	60%	40%
ORG - 6	60%	50%	30%	56%	78%	33%
ORG - 7	100%	100%	67%	83%	100%	83%
ORG - 8	100%	73%	27%	100%	64%	64%
ORG - 9	100%	56%	44%	75%	50%	75%
ORG - 10	71%	43%	14%	71%	43%	14%
ORG - 11	81%	44%	19%	63%	44%	6%
ORG - 12	90%	60%	60%	90%	60%	30%
ORG - 13	89%	100%	78%	100%	88%	63%
ORG - 14	83%	50%	33%	50%	83%	33%
Overall	88%	61%	43%	76%	66%	37%

- **Goal Setting Practice:** Though respondents had to give only one choice, some of the respondents gave multiple choices. Table 5.6 gives details of the responses received. From this it can be observed that
  - Higher % of respondents from 43%, 36%, 21% of the organization have indicated goal setting by "appraiser & appraise", "senior managers" and "line managers / team leaders" respectively. Thus, goal setting by Appraiser &Appraisee is most practiced option followed by senior Managers and Line manager / Team leaders.
  - Goal setting by HR professionals, employees themselves, or any other method is almost absent. Overall 3% of the respondents have indicated Goals setting based on past performance under any other method.

Table 5.6: Findings – Goal Setting Practice

Organization	% of Respondents					
	Senior Managers	Line manager / Team leaders	HR professi-onals	Emp-loyee	Appraiser &Appraise e	Others
ORG – 1	13%	27%	0	0	67%	0
ORG - 2	10%	30%	10%	0	70%	0
ORG - 3	40%	60%	10%	10%	30%	0
ORG - 4	43%	21%	0	0	29%	7%
ORG - 5	67%	17%	17%	0	0	17%
ORG - 6	60%	40%	10%	0	0	20%
ORG - 7	50%	67%	0	0	17%	0
ORG - 8	9%	18%	18%	0	82%	0
ORG - 9	0	22%	0	0	78%	0
ORG - 10	57%	14%	14%	0	14%	0
ORG - 11	33%	33%	0	7%	40%	0
ORG - 12	0	33%	0	0	67%	0
ORG - 13	100%	0	0	0	0	0
ORG - 14	17%	83%	0	17%	17%	0
Overall	34%	31%	5%	2%	40%	3%

- **Overall Rating and Forced Normalization:** Table 5.7 gives details of the responses received,

Table 5.7: Finding – Giving Overall Rating and its Process

Organization	% of Respondents			
	Is Overall Rating Given		Does The Company Follow	
	Yes	No	Forced normalization to fit bell curve for overall rating	Ranking based on overall performance
ORG – 1	100%	0	43%	57%
ORG - 2	80%	20%	50%	20%
ORG - 3	100%	0	80%	40%
ORG - 4	93%	7%	45%	55%
ORG - 5	100%	0	0	83%
ORG - 6	40%	60%	0	100%
ORG - 7	100%	0	0	50%
ORG - 8	100%	0	82%	18%
ORG - 9	100%	0	89%	11%
ORG - 10	100%	0	0	67%
ORG - 11	94%	6%	43%	50%
ORG - 12	89%	11%	87%	13%
ORG - 13	100%	0	12%	88%
ORG - 14	83%	17%	67%	100%
Overall	91%	9%	46%	50%

From Table 5.7 it can be observed that

- Higher % of respondents from 93% of the organizations have indicated presence of the practice of giving overall rating.
- 40% or more respondents from 64% and 71% of the organization confirmed practice of forced normalization to fit the bell curve for overall rating, and ranking based on overall performance respectively.

- As understood from respective HR members of respective organizations, Ranking based on overall performance as practiced is similar to forced ranking.
- Thus, it is observed that giving overall rating to employees and forced normalization practice to fit the bell curve is quite prevalent.

From above (Table 5.1 to 5.7) it can be observed that differential information is given by employees from the same organization indicating either inadequate awareness about PMS practices within the organization or variance in practices within the organization. Formal performance management system is followed by most of the organizations across all management levels with similar process for all levels. Goal setting is largely done by Appraiser &Appraisee followed by senior Managers and Line manager / Team leaders. Under performance appraisal mostly results delivered are measured against preset targets whereas ability to perform and potential to grow are used to comment upon Potential & Traits of the employee. Practice of considering peer views, subordinate views, and 360 degree appraisal for assessment is not much in vogue. At the end of appraisal, practice of giving overall rating to employees and forced normalization to fit the bell curve is quite prevalent.

V.2 Feedback and Development Need Identification Practices

This section explores existence of practice to give performance feedback, nature of the feedback given, and methods used for identifying training & development needs.

- **Feedback Mechanism:** Respondents were required to give one choice of nature of feedback received. However, some respondents gave multiple choices thus in one organization overall % of various options adds to more than 100%. Further, differential information on type of feedback received from the same organization indicate variances possibly due to multiple assessors.Table 5.8 gives details of the responses received on whether performance feedback is given to the employee or not and if it is given what is the nature of the feedback, from which it can be observed that
  - 50% or more of the respondents from 93% of the organizations have confirmed existence of the practice of giving performance feedback.

- Verbal (mixed positive & negative) feedback is confirmed by 41% of the respondents making it the most common type whereas 29% of respondents have confirmed mixed nature of feedback that includes alpha numeric and verbal positive and negative.

Table 5.8: Findings – Performance Feedback and its Nature

Organization	% of Respondents					
	Receive performance feedback		If yes, type of feedback received			
	Yes	No	Numeri-cal / alp-habetical	Verbal (all positive)	Verbal (positive and negative)	Combinat-ion of the three
ORG – 1	87%	13%	20%	7%	47%	20%
ORG - 2	89%	11%	22%	0	33%	22%
ORG - 3	100%	0	0	0	70%	30%
ORG - 4	50%	50%	0	0	36%	14%
ORG - 5	100%	0	33%	17%	33%	17%
ORG - 6	100%	0	40%	20%	50%	30%
ORG - 7	100%	0	17%	0	67%	17%
ORG - 8	91%	9%	0	0	36%	55%
ORG - 9	100%	0	11%	0	56%	33%
ORG - 10	57%	43%	0	0	29%	29%
ORG - 11	38%	62%	6%	0	19%	19%
ORG - 12	90%	10%	0	10%	40%	50%
ORG - 13	89%	11%	11%	0	33%	44%
ORG - 14	67%	33%	17%	0	33%	33%
Overall	80%	20%	12%	4%	41%	29%

- **Identification of Training & Developmental Needs:** Respondents were required to give one choice of arriving at training and development needs. However, some

respondents gave multiple choices thus in some cases overall % of various options adds up to more than 100%. Table 5.9 gives details of responses received from which it can be observed that

- 64% and 27% of the respondents indicated "jointly by employee & supervisor" and "by supervisor" respectively as method of arriving at training and development needs making them the top two prevalent method
- Use of structured assessment tool to arrive at developmental needs is close to being absent as only 7% of respondents have indicated its existence.

Table 5.9: Finding – Training and Development Needs Identification

Organization	% of Respondents				
	Supervisor	employee	Jointly by employee & supervisor	Through assessment tool	Any other method
ORG – 1	7%	20%	73%	0	0
ORG - 2	10%	0	90%	0	0
ORG - 3	10%	20%	80%	30%	0
ORG - 4	36%	21%	43%	0	0
ORG - 5	50%	0	50%	0	0
ORG - 6	60%	0	40%	10%	0
ORG - 7	50%	33%	50%	33%	0
ORG - 8	0	9%	91%	0	0
ORG - 9	0	11%	89%	0	0
ORG - 10	86%	0	14%	0	0
ORG - 11	14%	0	86%	0	0
ORG - 12	63%	38%	50%	13%	13%
ORG - 13	44%	0	33%	22%	11%
ORG - 14	0	17%	83%	17%	0
Total	27%	12%	64%	7%	1%

From above (Tables 5.8, 5.9) it can be observed that verbal (mixed positive and negative) is the most common method of giving performance feedback and training needs are mostly identified jointly by employee and supervisor without use of any assessment tool.

V.3 Difficult Situations, Psychological Barriers, Causes of Failure

This section explores employee discomfort areas during performance appraisal, psychological barriers for effective performance appraisal process, and causes of failure of performance appraisal system.

- **Situations employees find Difficult / Uncomfortable:** Respondent could give multiple choices out of the six options given. Details of the responses received are given in Table 5.10 from which it can be observed that dealing with unrealistic expectations followed by forced normalizations are the two key situations employees find difficult to face.

- **Psychological Barriers to Effective Performance Appraisal:** Respondents could give multiple options. Details of responses received are given in Table 5.11 from which it can be observed that Feeling of insecurity and Being too skeptical or modest are key psychological barriers to effective performance appraisal. While one respondent mentioned about linkage of appraisal to increment and another mentioned about fear of likely situation of disagreement between colleagues as psychological barriers, yet another mentioned none of the situation bother him.

- **Causes of Failure of Performance Appraisal System:** Details of responses are given in Table 5.12 from which it can be observed that
  - 40% respondents felt that Forced Normalization is the cause of failure of current performance management system whereas 42% felt inability to give constructive feedback causes failure. 25% felt Appraisal methods used cause the failure.
  - Thus three key reasons for failure of current performance management systems are 1) Inability to give constructive feedback; 2) Forced Normalization; 3) Appraisal Method used

Table 5.10: Findings – Situations employees findDifficult / Uncomfortable

Organization	Number of Respondents					
	Appraising distant subordinate	Appraising technically superior subordinate	The older, highly experienceds ubordinates	Dealing with unrealistic expectations	Coping with employee defensiveness	Forced Normalization
ORG – 1	21%	0	0	64%	7%	57%
ORG - 2	20%	10%	20%	60%	70%	20%
ORG - 3	0	20%	20%	60%	10%	40%
ORG - 4	63%	38%	50%	50%	50%	13%
ORG - 5	0	17%	33%	83%	33%	17%
ORG - 6	30%	0	50%	70%	40%	50%
ORG - 7	75%	25%	25%	25%	0	0
ORG - 8	0	0	9%	82%	36%	82%
ORG - 9	14%	14%	14%	57%	29%	57%
ORG - 10	29%	0	29%	43%	0	29%
ORG - 11	6%	0	13%	38%	19%	69%
ORG - 12	0	0	10%	30%	30%	80%
ORG - 13	22%	0	0	56%	22%	56%
ORG - 14	25%	0	0	75%	25%	25%
Total	18%	7%	18%	56%	27%	48%

Table 5.11: Finding – Psychological Barriers to Effective PerformanceAppraisal

Organization	Number of Respondents			
	Feelings of insecurity	Being too skeptical or modest	Worrying that performance appraisal might cause resentment to subordinates	Any other
ORG – 1	53%	29%	21%	0
ORG - 2	20%	40%	70%	0
ORG - 3	22%	44%	44%	11%
ORG - 4	10%	60%	30%	0
ORG - 5	40%	40%	40%	0
ORG - 6	60%	20%	30%	0
ORG - 7	80%	40%	0	0
ORG - 8	60%	30%	20%	10%
ORG - 9	22%	44%	56%	0
ORG - 10	57%	43%	0	0
ORG - 11	13%	56%	31%	6%
ORG - 12	40%	40%	20%	0
ORG - 13	67%	33%	33%	0
ORG - 14	50%	33%	50%	0
Total	40%	40%	32%	2%

Table 5.12: Finding – Causes of Failure of PerformanceAppraisal System

Organization	Number of Respondents			
	KRA, Targets Setting	Appraisal Method Used	Inability to give constructive feedback	Forced Normalization
ORG – 1	20%	33%	40%	47%
ORG - 2	0	10%	50%	40%
ORG - 3	30%	10%	20%	50%
ORG - 4	36%	18%	36%	27%
ORG - 5	33%	50%	50%	17%
ORG - 6	20%	60%	10%	30%
ORG - 7	0	40%	0	60%
ORG - 8	20%	40%	60%	90%
ORG - 9	25%	25%	63%	63%
ORG - 10	29%	14%	57%	0
ORG - 11	13%	31%	56%	38%
ORG - 12	67%	0	67%	33%
ORG - 13	50%	13%	63%	63%
ORG - 14	0	33%	50%	17%
Total	24%	27%	45%	42%

From above (Table 5.10 – 5.12) it can be observed that “dealing with unrealistic expectations” followed by “forced normalizations” are the two key situations employees find difficult to face whereas “feeling of insecurity” and “being too skeptical or modest” are key psychological barriers to effective performance appraisal. Two key reasons for failure of current performance management systems are 1) Inability to give constructive feedback; 2) Forced Normalization.

V.4 Employee Perception about PM Practices

This section explores employee perception on performance appraisal practiced in the organization, its effectiveness, success factors & objectivity, and likelihood of changes in current practices in next 12 months. Their views on self appraisal, participative PMS, and forced normalization are also analyzed.

- **Deadly Disease; Distraction from important activities:** Details of the responses are given in Table 5.13 from which it can be observed that 43% respondents agree with the quality management guru Edward Deming's statement that performance management is a "deadly disease" and 22% respondents feel that PMS distracts people from more important activities.

- **Self Appraisal, Participative PMS, and Forced Normalization:** Details of the responses are given in Table 5.14 from which it can be observed that
  - More than 90% respondents feel Self Appraisal System and Participative PMS method are beneficial
  - Only 2% of the respondents strongly feel that Forced Normalization on Bell Curve is liked by employees.

- **Success factors & Objectivity:** Responses on Success factors and possibility to carry out the entire PMS process objectively are given in Table 5.15.
  - From Table 5.15 it can be observed that overall 69% respondents feel that entire PMS can be carried out objectively where as 31% feel otherwise. "Involvement of Human beings" is the main reason cited for believing that PMS cannot be done objectively. On success factors for PMS 76% respondents feel that success of performance management system depends upon alignment of individual goals to organizational goals, 41% feel it depends upon choosing right appraisal methods.

Table 5.13: Finding – Performance Appraisal is Deadly Disease;Distraction from important activities

Organization	Number of Respondents			
	Performance Management is a "deadly disease"		PMS distract people from more important activities	
	Yes	No	Yes	No
ORG – 1	31%	69%	50%	50%
ORG - 2	44%	56%	30%	70%
ORG - 3	33%	67%	0	100%
ORG - 4	54%	46%	23%	77%
ORG - 5	33%	67%	50%	50%
ORG - 6	56%	44%	11%	89%
ORG - 7	67%	33%	17%	83%
ORG - 8	44%	56%	27%	73%
ORG - 9	29%	71%	11%	89%
ORG - 10	57%	43%	29%	71%
ORG - 11	47%	53%	12%	88%
ORG - 12	47%	63%	11%	89%
ORG - 13	50%	50%	11%	89%
ORG - 14	17%	83%	17%	83%
Total	43%	57%	22%	78%

Table 5.14: Findings – Self Appraisal, Participative PMS, and Forced Normalization

	Number of Respondents			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Self Appraisal is Beneficial	3%	2%	24%	71%
Participative PMS is Beneficial	2%	5%	32%	61%
Forced Normalization on Bell Curve is liked by employees	34%	34%	31%	1%

Table 5.15: Findings – Success factors & Objectivity for PMS

Organization	Number of Respondents				
	Success of PMS depend on			PMS can be carried out objectively	
	Aligning individual & organizational goals	Choosing the right method of appraisal	Any other	Yes	No
ORG – 1	87%	27%	0	71%	29%
ORG - 2	80%	40%	0	89%	11%
ORG - 3	67%	44%	11%	100%	0
ORG - 4	79%	43%	0	71%	29%
ORG - 5	67%	50%	0	100%	0
ORG - 6	80%	40%	0	40%	60%
ORG - 7	83%	50%	0	50%	50%
ORG - 8	64%	36%	9%	82%	18%
ORG - 9	89%	44%	0	63%	37%
ORG - 10	43%	57%	0	71%	29%
ORG - 11	75%	38%	6%	50%	50%
ORG - 12	90%	20%	10%	90%	10%
ORG - 13	89%	56%	0	56%	44%
ORG - 14	67%	67%	0	33%	67%
Total	77%	41%	3%	69%	31%

- **Effectiveness:** Respondents perception on effectiveness of current PMS practice in improving overall performance of the organization is given in Table 5.16 from which it can be observed that
  - 46% of respondents felt that performance appraisal in their organization is a bureaucratic chore
  - 6% respondents felt that current performance management process did not help in improving overall performance where as 51% felt it helped only somewhat. 6%

did not know if it helped or not. Only 37% felt current performance management process helps improving overall performance to a great extent. Thus effectiveness of current PMS is a big question mark.

Table 5.16: Findings – Effectiveness of Current PMS in improvingOverall Performance

Organization	Number of Respondents					
	PMS is a bureaucratic chore		Performance management processes is effective in improving overall performance			
	Yes	No	Not at All	To some extent	To a great extent	Don't Know
ORG – 1	47%	53%	20%	33%	33%	14%
ORG - 2	30%	70%	0	33%	44%	22%
ORG - 3	40%	60%	0	40%	60%	0
ORG - 4	46%	54%	7%	50%	43%	0
ORG - 5	17%	83%	0	50%	50%	0
ORG - 6	60%	40%	0	70%	20%	10%
ORG - 7	17%	83%	0	50%	50%	0
ORG - 8	60%	40%	9%	73%	18%	0
ORG - 9	22%	78%	0	22%	78%	0
ORG - 10	57%	43%	17%	50%	33%	0
ORG - 11	75%	25%	18%	56%	13%	13%
ORG - 12	38%	62%	0	70%	30%	0
ORG - 13	22%	78%	0	50%	37%	13%
ORG - 14	83%	17%	0	67%	33%	0
Total	46%	54%	6%	51%	37%	6%

- **Likelihood of changes in the PMS in next 12 months:** Details of responses is given in Table 5.17 from which it can be observed that

- Only 13% of respondents felt that they would not be making any changes in the current performance management system in next 12 months. Thus it can be said that most of the employees look forward to changes in current PMS practice.
- By and large employees have expressed need to improve the KRA and target setting process and building transparency while assessing. Some of the employees have suggested introduction of 360 degree and BSC practices. Also involvement of independent agency to build fairness and transparency has been recommended.

Table 5.17: Findings – Likelihood of changes in the PMS in next 12 months

Organization	Number of Respondents			
	Yes	No	May Be	Don't Know
ORG – 1	0	20%	40%	40%
ORG - 2	0	0	60%	40%
ORG - 3	10%	20%	40%	30%
ORG - 4	22%	14%	50%	14%
ORG - 5	50%	0	33%	17%
ORG - 6	50%	0	40%	10%
ORG - 7	0	17%	17%	66%
ORG - 8	27%	0	27%	46%
ORG - 9	67%	22%	0	11%
ORG - 10	14%	14%	43%	29%
ORG - 11	33%	7%	13%	47%
ORG - 12	50%	0	50%	0
ORG - 13	12%	22%	33%	33%
ORG - 14	33%	67%	0	0
Total	26%	13%	34%	27%

From above (Table 5.13 to 5.17) it can be observed that a good degree of resentment with prevailing performance appraisal system exists as 43% agree with Deming's statement that performance management is deadly disease and 22% feel it distracts from more important activities. 46% feel it is a bureaucratic chore and only 37% feel it helps in

improving overall performance to a great extent. Aligning individual goals to organizational goals is seen as a key success factor for PMS and forced normalization to fit the bell curve is not liked by employees.

V.5 Satisfaction Level with current Performance Appraisal System

Details of the responses are given in Table 5.18 from which it can be observed that

- 14% respondents are completely dissatisfied whereas only 6% are fully satisfied with current performance appraisal system;
- 50% respondents are only somewhat satisfied whereas 30% are satisfied to a great extent with current performance appraisal system.
- Thus almost 64% of respondents have high degree of dissatisfaction with current performance appraisal system.

Table 5.18: Findings – Satisfaction Level with current PAS

Organization	Number of Respondents			
	Not at All	To some extent	To a great extent	Fully
ORG – 1	13%	53%	27%	7%
ORG - 2	0	75%	25%	0
ORG - 3	0	40%	60%	0
ORG - 4	7%	50%	43%	0
ORG - 5	0	50%	50%	0
ORG - 6	30%	60%	10%	0
ORG - 7	0	67%	33%	0
ORG - 8	9%	73%	18%	0
ORG - 9	11%	11%	56%	22%
ORG - 10	29%	43%	14%	14%
ORG - 11	38%	43%	19%	0
ORG - 12	13%	61%	13%	13%
ORG - 13	11%	33%	33%	23%
ORG - 14	17%	49%	17%	17%
Total	14%	50%	30%	6%

V.6 Appropriateness of chosen attributes for Potential & TraitMeasurement Tool

This section explores target audience's acceptance level of the attributes chosen for measuring Ability to Perform, Potential to Grow and Ability to Change under Potential & Trait Measurement Tool. From details of the responses (Table 5.19, 5.20 and 5.21) it is observed that more than 90% agreed with selected attributes with more than 60% strongly agreeing to it.

Table 5.19: Findings – Criticality of Factors for "Ability to Perform"

	Number of Respondents			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Knowledge	4%	2%	16%	78%
Planning Ability	4%	2%	22%	72%
Communication Skills	4%	5%	30%	60%
Analytical Skills	4%	1%	22%	73%
Customer Orientation	4%	2%	32%	62%
Result Orientation	4%	3%	14%	79%

Table 5.20: Findings – Criticality of Factors for "Potential to Grow"

	Number of Respondents			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Decision Making Skills	4%	2%	20%	74%
Self Development	4%	1%	21%	74%
Initiative and Motivation	5%	1%	19%	75%
Leadership Qualities	3%	6%	22%	69%
Winning Instinct	3%	4%	30%	63%

Table 5.21: Findings – Criticality of Factors for "Ability to Change"

	Number of Respondents			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Creativity	4%	4%	31%	61%
Team Spirit	5%	0	26%	69%
Interpersonal Skills	4%	2%	34%	60%
People Development	3%	5%	31%	61%

V.7 Summary of Findings of PMS Inventory Survey

Differential information from employees within the same organization indicates inadequate level of understanding / awareness about PMS practices within the organization. Also from employee responses it appears that within the same organization different practices are followed perhaps depending upon assessor.

Current Practices:

- Most often similar performance management system is practiced across levels within the organizations
- Rating results achieved is the most popular approach for performance appraisal followed by assessing results against preset targets and BSC approach to KRAs and achievement method.
- Goal setting by Appraiser &Appraisee is most practiced option followed by senior Managers and Line manager / Team leaders.
- Results; Potential & Traits are assessed in most of the organizations
- Performance against Preset Targets is the most preferred method for measuring Results.
- Ability to perform is the most preferred method for measuring Potential & Traits followed by Potential to Grow.
- Peer views and subordinate views for assessment are not much practiced by organizations

- Giving overall rating to employees is quite prevalent
- Forced normalization practice to fit the bell curve is quite prevalent
- Giving Verbal (mixed positive & negative) performance feedback is largely practiced.
- Developmental needs are mainly identified jointly by employee and supervisor.
- Use of structured assessment tool to arrive at developmental needs is close to being absent (< 7%)

Difficult Situations, Psychological Barriers, and Causes of Failure

- Two key situations employees find it difficult to face are 1) Unrealistic expectations 2) Forced normalizations
- Key psychological barriers to effective performance appraisal in order of importance are Feeling of insecurity; being too skeptical or modest; and worrying that performance appraisal might cause resentment to subordinates
- Three key reasons for failure of current performance management systems are 1) Inability to give constructive feedback; 2) Forced Normalization; 3) Appraisal Method used

Effectiveness of PMS

- Effectiveness of current PMS is a big question mark as more than half of respondents feel that current performance management process improves organizational performance only to somewhat extent.

Satisfaction with PMS

- Almost 64% of respondents have high degree of dissatisfaction with current performance appraisal system.

Perception about PMS

- 46% of respondents felt that performance appraisal in their organization is a bureaucratic chore
- 43% respondents feel that performance management is a “deadly disease”.
- 22% respondents feel that PMS distracts people from more important activities.

- 69% respondents feel that entire PMS can be carried out objectively.
- More than 90% respondents felt Self Appraisal System and Participative PMS method are beneficial
- Only 1% of the respondents feel that Forced Normalization on Bell Curve is liked by employees.
- 77% respondents feel that success of performance management system depends upon alignment of individual goals to organizational goals. 41% feel it depends upon choosing right appraisal methods.
- Only 13% of respondents felt that they would not be making any changes in the current performance management system in next 12 months.

Relevance of factors chosen for Ability to perform, Potential to grow and ability to change

- More than 90% of respondents agreed that selected attributes are critical to one's ability to perform with more than 60% strongly agreeing to it.
- More than 90% of respondents agreed that selected attributes are critical to one's potential to grow with more than 60% strongly agreeing to it.
- More than 90% of respondents agreed that selected attributes are critical to one's ability to change with more than 60% strongly agreeing to it.

On the whole results reveal that

One, giving overall rating to employees and forced normalization practice to fit the bell curve is quite prevalent.

Two, employees find difficult to face forced normalizations, dislike it and consider it as one of the key reasons for failure of current performance management systems

Three, high degree of dissatisfaction with current PMS raises big question mark on its effectiveness

Four, employees feel that entire PMS can be carried out objectively and participative PMS method will be beneficial

Five, most of the employees feel that key to success of PMS is aligning individual goals to organizational goals.
Six, employees are looking forward to changes in the current performance management system

The most important details that emerge out are that our subjects appeared to have a higher consideration to dimensions like self appraisal, participative performance appraisal, aligning individual & organizational goals and have expressed great dissatisfaction with forced normalization process.

Some more insights may emerge after the examination of the proposed model “OASIS” by the experts.

Chapter VI PROPOSED MODEL "OASIS"

VI.1 Need for the Model

Based on the literature review and PMS Inventory survey findings, it is evident that there is a crying need for a comprehensive performance appraisal framework that will

- Provide comprehensive assessment comprising of Objective assessment, Subjective Impression and Sharing
- Improve differentiation through transparent relative ranking
- Enhance Objectivity of the process

VI.2 Proposed Model

The model that would address various issues discussed and helps assessing knowledge workers comprehensively should

- Cascade corporate & functional goals to individual & team goals
- Define clear performance criteria (including skills, behavior, and traits) and measuring metrics.
- Measure and Integrate results of both 'what' and 'how' assessment to arrive at unique performance number that represents overall assessment / performance.
- Provide relative assessment and yet not force fit employee into performance band
- Be a tool to provide basis for frank two way communication to reflect on performance and provide feedback / constructive criticism rather than passing judgment
- Provide clear learning and development plan
- Not only be fair and transparent but also perceived as one by people

Thus the model should integrate 1) results delivered against plan, 2) how results are delivered 3) potential to deliver results consistently and of higher order,

For this model will need to address and integrate

1) Achievement against targets (results delivered) [Objective Assessment]
2) Potential & Trait analysis (Competencies measurement) [Subjective Impressions]
3) Multi rater (360 degree) feedback and Counseling [Sharing]

In other words the model should integrate Objective Assessment, Subjective Impressions, and **S**haring to arrive at a unique number that could be used for ranking employees comprehensively and objectively. Thus OASIS for the 'PMDS' is

OASIS = **O**bjective **A**ssessment + **S**ubjective **I**mpression + **S**haring

For achieving above, it is proposed to use Balanced Score Card Concept (BSC) with some modification for Objective Assessment (OA); specially developed Potential & Trait (P&T) measurement tool for Subjective Impression (SI); and customized 360 degree assessment tool and output of P&T tool for Sharing (S) during feedback session. While P&T tool is developed in generic form such that it could be adapted for any role, 360 degree tool could need modifications for specific job & organizational needs.

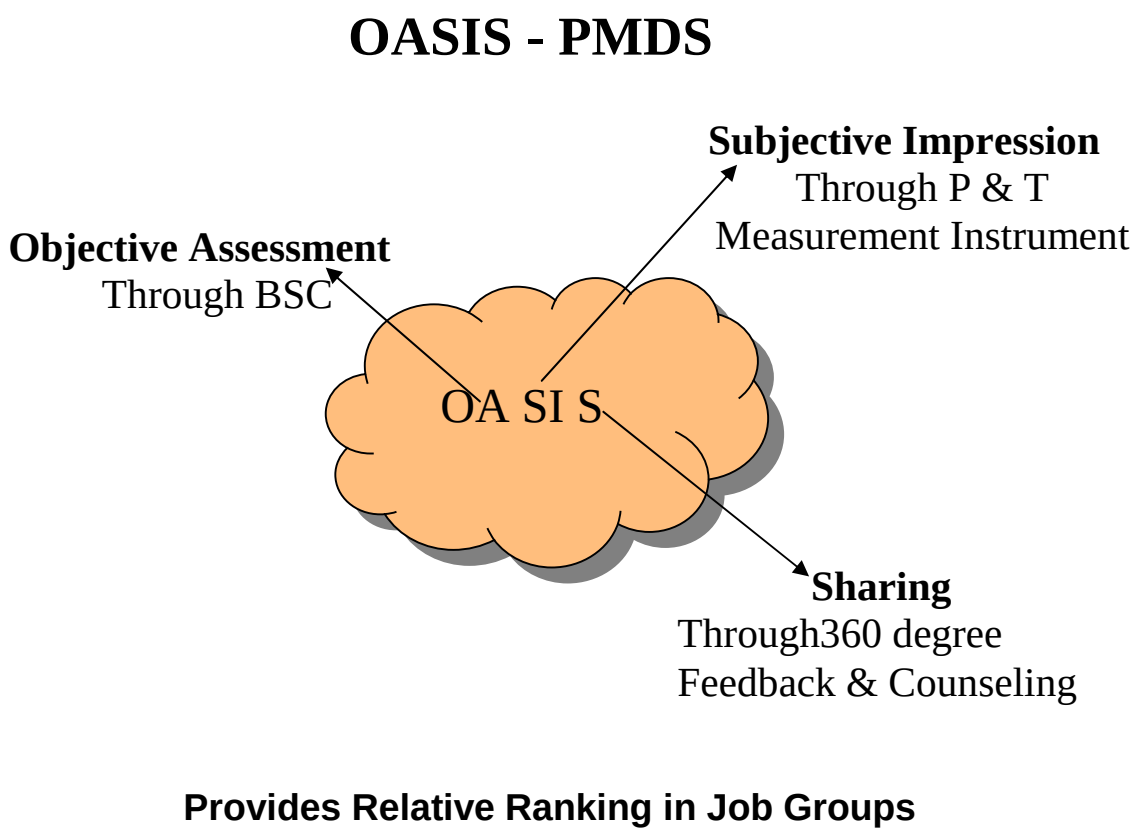

Figure 6.1: "OASIS" Model

Detailed discussions on the various components and terms used in the model and definitions are given below.

VI.3 Discussions on the various components of the model

Various components of the model which are discussed in this section are

1) Objective Assessment
2) Subjective Impression
3) Sharing

OBJECTIVE ASSESSMENT (OA):

Key Components of this part of the model are

1) Method to arrive at Comprehensive KRAs for the job
2) Calculations to arrive at "TAR" Value

It is proposed to use modified Balanced Score Card (including Team performance perspective) for this purpose.

Based on organizational objectives, first a scorecard indicating performance outcomes and drivers can be drawn. The same need to be cascaded to functions, teams, and individuals within the organization. These performance outcomes, drivers in the BSC would act as Key Result Areas (KRAs) for objective performance management i.e. monitoring, measuring, and directing performance.

Proposed Steps to arrive at KRAs for an Individual are given below

7 Steps for Setting Individual's KRAs

In order to arrive at individual's KRAs under each perspective (i.e. finance, customer, processes, learning & growth, and Team Performance)

- List all the activities that a job holder is required to do for implementing the initiatives planned based on organizational / functional / team scorecard. These

activities should address Quality, Delivery, Innovation, Safety, cost, moral, and team results aspects of the initiative.

- Attach possible performance indicators (lead & lag) for the listed activities.
- Choose most appropriate measuring index (objective – as far as possible) for every performance indicator.
- Group the activities / performance indicators under each perspective based on series of cause-and-effect relationship
- Attach importance (A- high, B- medium, or C- low) to every indicator under each perspective. The importance need to be decided based on its impact on the overall objective / outcome of the job; complexity involved in achieving the outcome; required time to achieve the outcome; and any unique / special skill required to achieve and inter-perspective linkage in the cause-and-effect relationship of the performance indicator.
- Based on the importance and inter / intra-perspective cause-and-effect relationship choose 1-6 parameters under each perspective such that total number of parameters under all four perspectives do not exceed 15 (preferably less than 10) for any individual. Proposed limit of 10 & 15 is to ensure that too many micro aspects are not covered under KRAs.
- Assign weightages to each short-listed parameter based on its impact on the overall outcome of the job; complexity involved in achieving the outcome; required time to achieve the outcome; and any unique / special skill required to achieve the outcome so that sum total of weightages of all parameters should be 100.
    - Ensure that parameters with subjective measuring index (somewhat judgmental - scale / rating based) do not form more than 20% weightage. This to ensure that human judgment does not impact to a greater extent on objective parameters.

This would represent effective list of KRAs for the job.

Sample KRAs for the position of Regional Sales Head arrived as per 7 steps method is enclosed in Appendix 5.

Targets:

Targets for each KRA should be such that overall organizational objective is met with i.e. sum total of targets for all individuals addressing that specific KRA should be equal to or greater than organizational target / plan for the KRA. Targets assigned should be stretch but achievable. For this individual should have 1) optimum organizational resources and 2) individual ability / competence to do. Targets should be clearly defined and measurable so that at the end of performance period, objective evaluation can be done.

Target Achievement Ratio (TAR):

At the end of review period, Target Achievement Ratio (TAR) is calculated.

TAR = Sum total [Weightage* (Achievement / Target) #] of each KRA (MI).

Maximum weighted average achievement of any KRA (MI) is equal to % weightage of KRA (MI). Maximum value of (Achievement / Target) can be 1. It is essentially to

- Avoid over performance on one aspect of the job (one KRA) compensating for underperformance on other aspects.
- Help in neutralizing any windfall gains on one aspect due to environmental reasons.

Above emanates from the spirit that for comprehensive performance one should deliver on all aspects of the job rather than few aspects. Sample calculation for a hypothetical case is given in Appendix 6.

Maximum value of TAR can be 1.

Thus at the end of Objective Assessment, we could arrive at “TAR”, a unique number that can be used for

- Ranking employees based on objective assessment alone to get performance category
- Input to arrive at overall unique number for the employee that would indicate combined performance and potential.

Above process of Objective Assessment gives a very comprehensive picture of what is delivered during the period under consideration.

SUBJECTIVE IMPRESSION (SI):

Key Components of this part of the model are

1) Elements of proposed Potential & Trait Measurement Tool
    a. Ability to Perform
    b. Potential to Grow
    c. Ability to Change
    d. Integrity
2) Calculations to arrive at "OCN" (Overall Competence Number) & I (Integrity) Factor

Elements of proposed Potential & Trait Measurement Tool

It is about person's personality and potential. It is essential to assess employee for ability to repeat the performance delivered, operating environments, means adopted in doing the job, ability to grow in hierarchy, and ability to take cross functional responsibilities or drive change i.e. potential & Traits. This is the grey area of PMDS. During discussions with most of the companies where potential assessment is done along with performance appraisal (not as a standalone exercise through assessment center), it was observed that either it is like ritual of ticking some boxes on the form, or else through discussions amongst a team of seniors about his / her ability to do higher level jobs, both being highly subjective.

Subjective part of assessment is commenting about one's competencies, behavior, traits and likely potential. It is to establish repeatability of delivered performance. It assists in potential review.

From the discussions on competency, behavior, trait, and potential it is quite evident that one needs to make judgment of predictive kind. Hence, it should be called as Subjective Impression rather than subjective assessment. During 30+ years of work experience (as assessee, assessor, and observer), it is observed that it is the most difficult and inappropriately handled part of PMDS. This essentially comes from under-developed counseling aids / ability of the managers that results in all the bad-blood / resistance that PMDS generates. Counseling, most often ends up as artistic use of behavior shaping

words for encouragement / discouragement resulting from superficial observations without appropriate analysis.

Therefore task on hand is to bring in maximum possible objectivity in arriving at these subjective impressions. And also to provide analytical tools that would assist manager during counseling session. For this purpose, Potential & Trait Measurement Tool is developed.

"16 X 7 / 2" – Potential & Trait Measurement Tool

During the focused group discussions, 16 generic attributes that drive various competencies required by organizations in knowledge economy were finalized for Potential & Trait Measurement Tool. These attributes were categorized under 1) ability to perform the tasks at hand; 2) ability to do higher level tasks then currently being done / potential to grow; 3) ability to perform cross functional tasks / change initiatives within the organization. Integrity was treated as bedrock attribute on which above three categories of attributes would rest. Further, it was finalized that each attribute should be measured at seven levels, one each corresponding to work levels within Aptech Ltd (there are total five work levels) and two additional levels representing cross functional work perspective and change management perspective of the attribute. It was decided to develop seven statements per attribute corresponding to seven levels of measure as mentioned above and seek group's views to finalize the same. The architecture and detailed P&T measurement tools were finalized during second focused group discussion. Table 6.1 below give architecture of Potential & Trait measurement tool with 16 attributes divided into four categories viz. 1) Ability to Perform; 2) Potential to Grow; 3) Ability to Change; and 4) Integrity.

Since, each attribute is measured at seven levels, total 112 items are to be assessed. Seven levels are linked to five work levels (most organizations engaged in knowledge work have 5 work levels other than CEO / MD, namely 1) Officer; 2) Executive; 3) Manager; 4) General Manager; 5) Vice President and additional two levels are for 6) Cross-functional and 7) Change management perspectives. List of 112 items covering 16 attributes level wise is given in Appendix 7.

For keeping the tool relevant and manageable, seven levels are divided in two parts,

- One for Operational Levels (1 to 4: Officer; Executive; Manager; General Manager);
- Second for Strategic Level (5 to 7: Vice President; Cross-functional; Change management)

Thus the P&T tool is referred as 16 X 7 / 2 (16 attributes; 7 levels of each attribute; divided in 2 parts viz. operational and strategic)

P&T measurement tool for operating levels has 67 items and that for strategic level has 52 items (since all seven items for integrity appear in both parts). Items are randomly organized. Refer Appendix 8 & 9 for tools. Immediate supervisor (Assessor) is required to assess each item on 1 – 10 scale and indicate degree of relevance of each item in the tool for assessee's current job on scale of 1-3, where 1 = Low; 2 = Medium; 3 = High. Skip level supervisor (Reviewer) is required to validate and give final score for each item on 1-10 scale. In order to facilitate assessor / reviewer template for providing meaning to 1 and 10 is given against each item.

Pilot test results Areas of strength and opportunities for improvement report (Appendix 13) were discussed with concerned officer and their immediate superiors. It was observed that these reports were acceptable to the concerned officer and immediate supervisor and they could relate themselves to the findings.

Table 6.1: Four Categories & 16 Attributes of Potential & Trait Measurement Tool

Ability to Perform	**Potential to Grow**	**Ability to Change**
• Knowledge	• Decision Making	• Creativity
• Planning	• Self Development	• Team Spirit
• Communication	• Initiative and Motivation	• Interpersonal Skills
• Analytical	• Leadership	• People Development
• Customer Oriented	• Winning Instinct	
• Result Oriented		
Integrity		

On analysis, the tool gives four factors

1) Ability to Perform Current Job;

2) Potential to Grow;

3) Ability to drive Change

4) Integrity Factor

Combination of first three factors give rise to unique number that represents individual's Potential & Trait rating. Various factors that are calculated from P&T tool to arrive at overall Competence factor are given below in Table 6.2.

Table 6.2: Factors that need to be calculated from P&T Tool to arrive at Overall Competence Factor:

<table>
<tr><th># For a work level</th><th>## Overall for the Stage</th><th></th></tr>
<tr><td>Ability to Perform Level No. (APL)</td><td>Ability to Perform Stage No. (APS)</td><td rowspan="3">Overall Competence No. (OCN)</td></tr>
<tr><td>Potential to Grow Level No. (PGL)</td><td>Potential to Grow Stage No. (PGS)</td></tr>
<tr><td>Ability to Change Level No. (ACL)</td><td>Ability to Change Stage No. (ACS)</td></tr>
<tr><td colspan="3">Integrity (I) Factor</td></tr>
</table>

Work level represents 7 levels in P&T tool. Stage 1 has 4 levels viz. Officer, executive, manager and general manager; and Stage 2 has 3 levels viz. Vice President, Cross Functional and Change Management. Here APL, PGL and ACL are calculated for each level within the stage.

Overall for the stage means all levels in the stage put together through appropriate mathematical equation. i.e. 4 levels of stage 1 put together through mathematical equation; or 3 levels of stage 2 put together through mathematical equation.

For calculating APL, PGL and ACL weighted average score of rating and relevance for all the attributes at given level under the category is taken.

For calculating APS, PGS and ACS level multiplier factors are chosen from the "Level Weitage Matrix". The sample "Level Weightage Matrix" is given in the Appendix 10.
The level weightage matrix needs to be finalized by respective HR experts in consultation with functional / departmental business heads or by Management Committee.

Various formulae used to arrive at OCN (Overall Competence Number) and Integrity Factor are given below.

Factors at Work Level

Ability to Perform Level Number (APL):

APL = [Sum total of (item score * relevance score) for ability to perform attributes for a given level] / (maximum possible score)

Maximum Possible Score = (10 * Sum total of relevance score for ability to perform attributes)

Note: Maximum possible score for any item is 10 (Scale 1 to 10).

Potential to Grow Level Number (PGL):

PGL = [Sum total of (item score * relevance score) for potential to grow attributes for a given level] / (maximum possible score)

Maximum Possible Score = (10 * Sum total of relevance score for potential to grow attributes)

Note: Maximum possible score for any item is 10 (Scale 1 to 10).

Ability to Change Level Number (ACL):

ACL = [Sum total of (item score * relevance score) for ability to change attributes for a given level] / (maximum possible score)

Maximum Possible Score = (10 * Sum total of relevance score for potential to grow attributes)

Note: Maximum possible score for any item is 10 (Scale 1 to 10).

Factors at Stage Level

Ability to Perform Stage Number (APS):

APS = [Sum total of (APL * level multiplying factor) for all levels in the stage] / [Sum total of multiplying factors]

Potential to Grow Stage Number (PGS):

PGS = [Sum total of (PGL * level multiplying factor) for all levels in the stage] / [Sum total of multiplying factors]

Ability to Change Stage Number (ACS):

ACS = [Sum total of (ACL * level multiplying factor) for all levels in the stage] / [Sum total of multiplying factors]

Combining Ability to Perform, Potential to Grow, and Ability to Change

Overall Competence Number (OCN):

OCN = [APS + PGS + ACS]/3

Maximum value of APS, PGS, ACS and OCN can be one.

Integrity Factor (I) is calculated as follows:

I = [Sum total of (item score * relevance score) of all items for Integrity] / (maximum possible score)

Maximum Possible Score = (10 * Sum total of relevance score for Integrity Items)

Note: Maximum possible score for any item is 10 (Scale 1 to 10).

Maximum value of I Factor can be 1.

Above factors are separately calculated for the scores given by assessor and reviewer. For final assessment, figures given by reviewer are considered as they are arrived at post discussions between assessor and reviewer in case there is difference of views.

Thus P&T tool will give unique numbers viz. Overall Competence Number (OCN) and Integrity Factor (I Factor). These are used to arrive at Subjective Impression "SI" Factor.

SI Factor = (OCN + I Factor)/2

SI Factor could be used for ranking people for their competence and potential.

Appendix 11 gives detailed process of calculating considering alpha numeric examples to explain above formulae and OCN calculations. Sample report is given in Appendix 12.

Based on item wise analysis from P & T tool another report is also generated that shows relative strength and area of improvement for above attributes. This report could be used for objective counseling. Thus counseling sessions would grow beyond behavior shaping statements. Refer Appendix 13 for sample report

It is recommended that in case of promotions from operating level to strategic level both parts of the tool should be assessed.

Analysis of P&T tool is automated through linked worksheets in MS Office Excel package.

Based on "TAR" and "SIF", employees could also be identified for assessment center or development center for fast growth path to create high potential leadership for the organization from within.

Thus it can be observed that this P&T tool combines features of Behaviorally Anchored Rating Scales (BARS); Behavioral Expectation Scales (BES); Behavior Observation Scales (BOS); Graphic Rating Scales (GRS); and attempts to minimize measurement problems like free flow judgment, stereotyping, halo effect, leniency / central tendency.

SHARING (S):

Key Components of this part of the model are

1) 360 degree assessment
2) Calculations to arrive at "S factor" Value

Sharing comprises of

1) Multi rater assessment to know how the employee is perceived by others with whom he / she deals with during performance of his / her duties and
2) Counseling session between assessee and assessor.

Counseling session is very important aspect of PMDS. Success / failure of the system in terms of its fairness and acceptance depend upon how an assessee is given the information on strengths and areas of improvements. During 30+ years of industry experience it is observed that during this phase most of the problems arise as either

assessor is not adequately prepared for giving appropriate feedback or assessee sees every statement as a ploy to deny the justified dues. Also it is observed that quite often this phase of PMDS is managed either with authority (this is it and you better listen) or it's anyway a formality and we are friends (why worry and bother).

It is felt that these situations arise as most often the systems followed end with target assessment and do not provide enough tools to assessors and assessee for objectively analyzing "how" part of the job. In cases where other tools are used, they are not integrated to arrive at comprehensive analysis. This essentially is result of desire to keep things simple and hesitation to spend adequate time on people assessment and analysis. All this leads to inadequate preparedness on part of assessor and assessee during sharing.

Thus, it is proposed to use combination of multi-rater assessment and P&T report on areas of relative strength and opportunity to improve. The later report is discussed in details in Subjective Impression section. Multi-rater assessment is discussed below.

Multi-rater assessment or 360 degree assessment is used to find how people (especially with whom one interacts for performing duties i.e. seniors, peers, subordinates, internal / external customers / stakeholders) perceive / feel about one's abilities / traits.

In order to facilitate collection of feedback on abilities & traits, a simple multi-rater feedback tool is developed for each level i.e. entry level, middle level and senior level assesses. Feedback collected with the help of level specific tools is analyzed to arrive at a Sharing (S) Factor. To keep it simple, average of all (other than self) feedback ratings is used to arrive at S Factor. These tools have been used for measuring S factor of the test group. Refer Appendix 14 for the multi rater assessment tool.

On completing above, assessor and assessee should have a Sharing session. During this session assessor should counsel the assessee with the support of 'Traits – Relative Strengths' Report generated by P&T Assessment and multi-rater feedback analysis. This would provide great degree of objectivity to the counseling process and thus increase probability of beneficial results of entire PMDS process.

VI.4 Calculations to arrive at "OASIS" Number

Thus, at the end of PMDS process, three unique performance numbers viz TAR (Target Achievement Ratio), SIF (Subjective Impression Factor) and SF (Sharing Factor) are obtained.

All the three unique numbers are merged into one overall performance number i.e. OASIS NUMBER with the help of following equation.

OASIS Number = (alpha*TAR + beta*2*SIF + gamma*SF) / 4

Where alpha + beta + gamma = 1 and their values are arrived at based on role and level. These values (alpha, beta, gamma) are to be chosen by individual organization based on their wisdom of operational needs and priorities.

Note: SIF is composite of OCN & I Factor given by formula SIF = (OCN + I Factor) / 2. Thus, for arriving at OASIS number, 2 * SIF is considered and overall division is by 4. Alternate formula for OASIS Number is

OASIS Number = (alpha*TAR + beta* OCN + beta * I Factor + gamma*SF) / 4

VI.5 Validation of "OASIS" Model through Experts

1. **KWs resent being measured only on number oriented systems:** Details of the Finding are given in the Table 6.3 below from which it is observed that
   - 100% experts from industry practitioners,73% from consultants, and 60% from academia category (overall 79%) agree somewhat to strongly that Knowledge workers (KWs) resent being measured only on number oriented systems
   - Overall only 3% of experts strongly disagree and 18% somewhat disagree.
   - Thus view that KWs resent being measured only on number oriented systems is supported by experts.

Table 6.3: Frequency Distribution of Experts Views on KWs resent being measured only on number oriented systems

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	10 %	30 %	10 %	50 %
Consultants	0 %	27 %	55 %	18 %
Industry Practitioners	0%	0%	67 %	33 %
Overall	3 %	18 %	46 %	33 %

2. **KWs resent forced normalization process to fit the bell curve:** Details of the findings are given in Table 6.4 below from which it is observed that
   - 100% experts from consultants, 92% from industry practitioners, and 90% from academia category (Overall 94%) agree somewhat to strongly that KWs resent forced normalization process to fit the bell curve.
   - Only 6% of experts somewhat disagree with it with none strongly disagreeing.
   - Thus view that KWs resent forced normalization process to fit the bell curve is supported by experts.

Table 6.4: Frequency Distribution of Experts Views on KWs resent forced normalization process to fit the bell curve

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	10 %	30 %	60 %
Consultants	0 %	0 %	64 %	36 %
Industry Practitioners	0 %	8 %	42 %	50 %
Overall	0 %	6 %	45 %	49 %

3. **KWs demand rational logic for any differentiation made between two role holders:** Details of the findings are given in Table 6.5 below from which it is observed that
   - 92% experts from industry practitioners, 91% from consultants, and 90% from academia category (overall 91%) agree somewhat to strongly that KWs demand rational logic for any differentiation made between two role holders that affect their rewards / esteem.
   - Only 9% of experts somewhat disagree with it with none strongly disagreeing.
   - Thus view that KWs demand rational logic for any differentiation made between two role holders is supported by experts.

Table 6.5: Frequency Distribution of Experts Views on KWs demand rational logic for any differentiation made between two role holders:

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	10 %	40 %	50 %
Consultants	0 %	9 %	36 %	55 %
Industry Practitioners	0 %	8 %	17 %	75 %
Overall	0 %	9 %	30 %	61 %

4. **Measuring job done by KWs is difficult:** Details of the findings are given in Table 6.6 below from which it is observed that
   - 60% experts from academia, 55% from consultants, and 50% from industry practitioners category (Overall 55%) agree somewhat to strongly that measuring job done by KWs is difficult
   - 33% of experts somewhat disagree and only 12% strongly disagree to it.
   - Thus view that “measuring job done by KWs is difficult” is supported by experts.

Table 6.6: Frequency Distribution of Experts Views on Measuring job done by KWs is difficult:

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	10 %	30 %	60 %	0 %
Consultants	9 %	36 %	18 %	37 %
Industry Practitioners	17 %	33 %	50 %	0 %
Overall	12 %	33 %	43 %	12 %

5. **Measuring job done by KWs is difficult because Lot of time is spent communicating:** From the findings given in Table 6.7 below it is observed that
   - 67% experts from industry practitioners, 44% from academia and 38% from consultants' category (Overall 50%) agree somewhat to strongly that measuring job done by KWs is difficult because lot of time is spent communicating
   - Overall 19% strongly disagree and 31% somewhat disagree to it.
   - Thus there is a vertical split between experts views that measuring job done by KWs is difficult because lot of time is spent communicating.
   - Thus there is no strong reason to disapprove or approve the view that "measuring job done by KWs is difficult because lot of time is spent communicating".
   - Since there is no strong reason to reject this aspect of observations, it is retained.

6. **Measuring job done by KWs is difficult because Permeable Home / Work / Travel Boundaries:** From the findings given in Table 6.8 below it is observed that
   - 78% experts from industry practitioners, 75% from consultants, and 56% from academia category (Overall 69%) agree somewhat to strongly that measuring job done by KWs is difficult because Permeable Home / Work / Travel Boundaries.
   - Overall only 19% of experts strongly disagree and 12% somewhat disagree.
   - Thus the view that "measuring job done by KWs is difficult because Permeable Home / Work / Travel Boundaries" is supported by experts.

Table 6.7: Frequency Distribution of Experts Views on Measuring job done by KWs is difficult because Lot of time is spent communicating:

N (Academia) = 9; N (Consultant) = 8; N (Industry Practitioners) = 9

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	11 %	45 %	22 %	22 %
Consultants	37 %	25 %	25 %	13 %
Industry Practitioners	11 %	22 %	67 %	0 %
Overall	19 %	31 %	38 %	12 %

Table 6.8: Frequency Distribution of Experts Views on Measuring job done by KWs is difficult because Permeable Home / Work / Travel Boundaries:

N (Academia) = 9; N (Consultant) = 8; N (Industry Practitioners) = 9

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	33 %	11 %	45 %	11 %
Consultants	25 %	0	37 %	38 %
Industry Practitioners	0 %	22 %	78 %	0 %
Overall	19 %	12 %	54 %	15 %

7. **Measuring job done by KWs is difficult because they need to acquire & Synthesize Knowledge:** From the findings given in Table 6.9 it is observed that
   - 90% experts from industry practitioners and academia, and 63% from consultants, (Overall 82%) agree somewhat to strongly that measuring job done by KWs is difficult because they need to acquire & Synthesize Knowledge.
   - Overall only 11% of experts strongly disagree and 7% somewhat disagree to it.
   - Thus the view that “measuring job done by KWs is difficult because they need to acquire & Synthesize Knowledge” is supported by experts.

Table 6.9: Frequency Distribution of Experts Views on Measuring job done by KWs is difficult because they need to acquire & Synthesize Knowledge:

N (Academia) = 10; N (Consultant) = 8; N (Industry Practitioners) = 10

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	10 %	0 %	40 %	50 %
Consultants	25 %	12 %	13 %	50 %
Industry Practitioners	0	10 %	60 %	30 %
Overall	11 %	7 %	39 %	43 %

8. **Current performance management practices fall short in effectively addressing Unique Characteristics of the job for KWs:** Details of the findings are given in Table 6.10 below from which it is observed that
   - 100% experts from academia, 90% from Industry practitioners and 67% from consultants' category (overall 85%) agree somewhat to strongly that current performance management practices fall short in effectively addressing Unique Characteristics of the job for KWs.
   - Overall only 4% of experts strongly disagree and 11% somewhat disagree to it.
   - Thus the view that "current performance management practices fall short in effectively addressing Unique Characteristics of the job for KWs" is supported by experts.

9. **Current performance management practices fall short in effectively addressing Desired Communication Level for KWs:** Details of the findings are given in Table 6.11 below from which it can be observed that
   - 78% experts each from academia and Industry practitioners and 67% from consultants' category (overall 74%) agree somewhat to strongly that current performance management practices fall short in effectively addressing desired communication level for KWs.
   - Overall only 26% of experts somewhat disagree with none disagreeing strongly.

- Thus the view that "current performance management practices fall short in effectively addressing desired communication level for KWs" is supported by experts.

Table 6.10: Frequency Distribution of Experts Views on Current performance management practices fall short in effectively addressing Unique Characteristics of the job for KWs:

N (Academia) = 8; N (Consultant) = 9; N (Industry Practitioners) = 10

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	75 %	25 %
Consultants	11 %	22 %	45 %	22 %
Industry Practitioners	0 %	10 %	40 %	50 %
Overall	4 %	11 %	52 %	33 %

Table 6.11: Frequency Distribution of Experts Views on Current performance management practices fall short in effectively addressing Desired Communication Level for KWs:

N (Academia) = 9; N (Consultant) = 9; N (Industry Practitioners) = 9

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	22 %	67 %	11 %
Consultants	0 %	33 %	56 %	11 %
Industry Practitioners	0 %	22 %	45 %	33 %
Overall	0 %	26 %	56 %	18 %

10. **Current performance management practices fall short in effectively addressing Dynamic Nature of the job for KWs:** From the findings given in Table 6.12 it is observed that
    - 90% experts each from academia and consultants, and 80% from industry practitioners' category (overall 87%) agree somewhat to strongly that current performance management practices fall short in effectively addressing dynamic nature of the job for KWs.
    - Overall only 10% of experts somewhat disagree and 3% strongly disagreeing.
    - Thus the view that "current PM practices fall short in effectively addressing dynamic nature of the job for KWs." is supported by experts.

Table 6.12: Frequency Distribution of Experts Views on Current PM Practices fall short in effectively addressing Dynamic Nature of the job for KWs:

N (Academia) = 10; N (Consultant) = 10; N (Industry Practitioners) = 10

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	10 %	40 %	50 %
Consultants	0 %	10 %	60 %	30 %
Industry Practitioners	10 %	10 %	40 %	40 %
Overall	3 %	10 %	47 %	40 %

11. **Current PM Practices fall short in effectively addressing Interdependence of the job for KWs:** From the findings given in Table 6.13 below it is observed that
    - 80% experts each from industry practitioners and consultants, and 67% from academia' categories (overall 76%) agree somewhat to strongly that current performance management practices fall short in effectively addressing Interdependence of the job for KWs.
    - Overall only 17% of experts somewhat disagree and 7% strongly disagreeing.
    - Thus the view that "current PM practices fall short in effectively addressing Interdependence of the job for KWs." is supported by experts.

Table 6.13: Frequency Distribution of Experts Views on Current PM Practices fall short in effectively addressing Interdependence of the job for KWs:

N (Academia) = 9; N (Consultant) = 10; N (Industry Practitioners) = 10

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	11 %	22 %	45 %	22 %
Consultants	10 %	10 %	30 %	50 %
Industry Practitioners	0 %	20 %	30 %	50 %
Overall	7 %	17 %	35 %	41 %

12. Current performance management practices fall short in effectively addressing Team work for KWs: From the findings given in Table 6.14 it is observed that

- 80% experts from consultants, 78% from academia and 63% from industry practitioners' categories (overall 74%) agree somewhat to strongly that current PM practices fall short in effectively addressing Team work for KWs.
- Overall only 15% of experts somewhat disagree and 11% strongly disagreeing.
- Thus the view that "current performance management practices fall short in effectively addressing Team work for KWs." is supported by experts.

Table 6.14: Frequency Distribution of Experts Views on Current performance management practices fall short in effectively addressing Team work for KWs:

N (Academia) = 9; N (Consultant) = 10; N (Industry Practitioners) = 8

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	11 %	11 %	45 %	33 %
Consultants	10 %	10 %	40 %	40 %
Industry Practitioners	12 %	25 %	25 %	38 %
Overall	11 %	15 %	37 %	37 %

13. **Strong need to develop Comprehensive model of performance management for KWs:** From the findings given in Table 6.15 below it is observed that
    - 92% experts from industry practitioners, 91% from consultants and 90% from academia categories (overall 91%) agree somewhat to strongly that strong need to develop comprehensive model of performance management for KWs exist.
    - Overall only 9% of experts somewhat disagree with none strongly disagreeing.
    - Thus the view that "strong need to develop comprehensive model of performance management for KWs exist" is supported by experts.

Table 6.15: Frequency Distribution of Experts Views on Strong need to develop Comprehensive model of performance management for KWs:

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	10 %	10 %	80 %
Consultants	0 %	9 %	18 %	73 %
Industry Practitioners	0 %	8 %	25 %	67 %
Overall	0 %	9 %	18 %	73 %

14. **Important to measure both lead and lag performance indicators for knowledge workers:** From the findings given in Table 6.16 below it is observed that
    - 100 % experts in each category agree somewhat to strongly that it is important to measure both lead and lag performance indicators for KWs.
    - Thus the view that "it is important to measure both lead and lag performance indicators for KWs" is supported by experts.

15. **Comprehensive KRA framework for each job as explained in "OASIS Model" will help in improving performance management:** Details of the findings are given in Table 6.17 below from which it is observed that

- 100 % experts in each category agree somewhat to strongly that comprehensive KRA framework for each job as explained in "OASIS Model" will help in improving performance management.
- Thus suggested framework for drawing comprehensive KRAs is considered suitable and appropriate by experts.

Table 6.16: Frequency Distribution of Experts Views on Important to measure both lead and lag performance indicators for KWs:

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	30 %	70 %
Consultants	0 %	0 %	18 %	82 %
Industry Practitioners	0 %	0 %	33 %	67 %
Overall	0 %	0 %	27 %	73 %

Table 6.17: Frequency Distribution of Experts Views on Comprehensive KRA framework for each job as explained in "OASIS Model" will help in improving performance management:

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	10 %	90 %
Consultants	0 %	0 %	27 %	73 %
Industry Practitioners	0 %	0 %	42 %	58 %
Overall	0 %	0 %	27 %	73 %

16. **Potential & Trait measurement technique adopted by "OASIS" model will help reducing subjectiveness in assessment:** Details of the findings are given in Table 6.18 below from which it is observed that
    - 100% experts from academia and industry practitioners, and 90% from consultants' category (overall 97%) agree somewhat to strongly that Potential & Trait measurement technique adopted by "OASIS" model will help reducing subjectiveness in assessment.
    - Thus the suggested framework for Potential & Trait measurement is considered suitable and appropriate by experts.

Table 6.18: Frequency Distribution of Experts Views on Potential & Trait measurement technique adopted by "OASIS" model will help reducing subjectiveness in assessment:

N (Academia) = 10; N (Consultant) = 10; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	50 %	50 %
Consultants	0 %	10 %	40 %	50 %
Industry Practitioners	0 %	0 %	50 %	50 %
Overall	0 %	3 %	47 %	50 %

17. **Template used for measuring Integrity factor under "OASIS" model is appropriate:** From the findings given in Table 6.19 it is observed that
    - 100% of experts from industry practitioners, and 90% from academia and consultants' category (overall 94%) agree somewhat to strongly that template used for measuring Integrity factor under "OASIS" model is appropriate.
    - Only 10% of experts each from academia and consultants' category (overall only 6%) somewhat disagreed with it.
    - Thus the suggested template for measuring Integrity factor under "OASIS" model is considered appropriate by experts.

Table 6.19: Frequency Distribution of Experts Views on Template used for measuring Integrity factor under "OASIS" model is appropriate:

N (Academia) = 10; N (Consultant) = 10; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	10 %	50 %	40 %
Consultants	0 %	10 %	50 %	40 %
Industry Practitioners	0 %	0 %	67 %	33 %
Overall	0 %	6 %	56 %	38 %

18. Concept of "TAR" (Target Achievement Ratio) as explained in "OASIS" Model will help in effective assessment of all aspects of the job and overall achievement:

Details of the findings are given in Table 6.20 below from which it is observed that

- 100% experts from academia and consultants', and 92% from industry practitioners' category (overall 97%) agree somewhat to strongly that concept of "TAR" (Target Achievement Ratio) as explained in "OASIS" Model will help in effective assessment of all aspects of the job and overall achievement.
- Only 8% of experts from industry practitioners' category (overall only 3%) somewhat disagreed with it.
- Thus the suggested concept of "TAR" (Target Achievement Ratio) is considered appropriate for improving effectiveness of assessment of all aspects of the job and overall achievement by experts.

19. Concept of "OCN" (Overall Competence Number) as explained in "OASIS" Model will help in effective assessment of overall potential & Traits of a KW:

From the findings given in Table 6.21 below it is observed that

- 100 % of experts in each category agree somewhat to strongly that Concept of "OCN" (Overall Competence Number) as explained in "OASIS" Model will help in effective assessment of overall potential & Traits of a KW.

- Thus the suggested framework of "OCN" (Overall Competence Number) is considered appropriate for enhancing effectiveness of overall potential & traits assessment of a knowledge worker by experts.

Table 6.20: Frequency Distribution of Experts Views on Concept of "TAR" (Target Achievement Ratio) as explained in "OASIS" Model will help in effective assessment of all aspects of the job and overall achievement:

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	20 %	80 %
Consultants	0 %	0 %	45 %	55 %
Industry Practitioners	0 %	8 %	50 %	42 %
Overall	0 %	3 %	39 %	58 %

Table 6.21: Frequency Distribution of Experts Views on Concept of "OCN" (Overall Competence Number) as explained in "OASIS" Model will help in effective assessment of overall potential & Traits of a knowledge worker:

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	60 %	40 %
Consultants	0 %	0 %	64 %	36 %
Industry Practitioners	0 %	0 %	58 %	42 %
Overall	0 %	0 %	61 %	39 %

20. **Concept of "S Factor" (Sharing Factor) as explained in "OASIS" Model is appropriate in arriving at numeric output of 360 degree assessment tool:** Details of the findings are given in Table 6.22 below from which it is observed that

- 100% experts from academia and consultants', and 92% from industry practitioners' category (overall 97%) agree somewhat to strongly that concept of "S Factor" (Sharing Factor) as explained in "OASIS" Model is appropriate in arriving at numeric output of 360 degree assessment tool.
- Only 8% of experts from industry practitioners' category (overall only 3%) strongly disagreed with it.
- Thus suggested concept of "S Factor" (Sharing Factor) is considered appropriate in arriving at numeric output of 360 degree assessment tool by experts.

Table 6.22: Frequency Distribution of Experts Views on Concept of "S Factor" (Sharing Factor) as explained in "OASIS" Model is appropriate in arriving at numeric output of 360 degree assessment tool:

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	40 %	60 %
Consultants	0 %	0 %	64 %	36 %
Industry Practitioners	8 %	0 %	50 %	42 %
Overall	3 %	0 %	52 %	45 %

21. **Concept of "OASIS Number" as explained in "OASIS" Model is appropriate in arriving at overall performance and ranking of knowledge workers:** Details of the findings are given in Table 6.23 below from which it is observed that
    - 100% of experts from academia and industry practitioners', and 91% from consultants' category (overall 97%) agree somewhat to strongly that concept of "OASIS Number" as explained in "OASIS" Model is appropriate in arriving at overall performance and ranking of knowledge workers.
    - Only 9% of experts from consultants' (overall 3%) somewhat disagreed with it.
    - Thus the suggested concept of "OASIS Number" is considered appropriate in arriving at overall performance and ranking of KWs by experts.

Table 6.23: Frequency Distribution of Experts Views on Concept of "OASIS Number" as explained in "OASIS" Model is appropriate in arriving at overall performance and ranking of knowledge workers:

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 11

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	40 %	60 %
Consultants	0 %	9 %	64 %	27 %
Industry Practitioners	0 %	0 %	36 %	64 %
Overall	0 %	3 %	47 %	50 %

22. "Knowledge" as Critical Factors for "Ability to Perform": Details of the findings are given in Table 6.24 below from which it can be observed that

- 100% experts from academia and industry practitioners', and 91% from consultants' category (overall 97%) agree somewhat to strongly that "Knowledge" is critical factors for "Ability to Perform" of knowledge workers.
- Only 9% of experts from consultants' (overall 3%) somewhat disagreed with it.
- Thus the view that "Knowledge" is critical factors for "Ability to Perform" of knowledge workers is supported by experts.

Table 6.24: Frequency Distribution of Experts Views on "Knowledge" as Critical Factors for "Ability to Perform":

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	20 %	80 %
Consultants	0 %	9 %	18 %	73 %
Industry Practitioners	0 %	0 %	33 %	67 %
Overall	0 %	3 %	24 %	73 %

23. **"Planning ability" as Critical Factors for "Ability to Perform":** Details of the findings are given in Table 6.25 below from which it is observed that
    - 100 % of experts in each category agree somewhat to strongly that "Planning ability" is critical factors for "Ability to Perform" of a knowledge worker.
    - Thus the view that "Planning ability" is critical factors for "Ability to Perform" of a knowledge worker is supported by experts.

Table 6.25: Frequency Distribution of Experts Views on "Planning ability" as Critical Factors for "Ability to Perform":

N (Academia) = 9; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	11 %	89 %
Consultants	0 %	0 %	36 %	64 %
Industry Practitioners	0 %	0 %	33 %	67 %
Overall	0 %	0 %	28 %	72 %

24. **"Communication Skills" as Critical Factors for "Ability to Perform":** Details of the findings are given in Table 6.26 below from which it is observed that
    - 100% experts from academia, consultants', and 90% from industry practitioners' category (overall 97%) agree somewhat to strongly that "Communication Skills" is critical factors for "Ability to Perform" of knowledge workers.
    - Only 10% of experts from industry practitioners' category (overall only 3%) somewhat disagreed with it.
    - Thus the view that "Communication Skills" is critical factors for "Ability to Perform" of knowledge workers is supported by experts.

Table 6.26: Frequency Distribution of Experts Views on "Communication Skills" as Critical Factors for "Ability to Perform":

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 10

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	20 %	80 %
Consultants	0 %	0 %	36 %	64 %
Industry Practitioners	0 %	10 %	30 %	60 %
Overall	0 %	3 %	29 %	68 %

25. **"Analytical Skills" as Critical Factors for "Ability to Perform":** Details of the findings are given in Table 6.27 below from which it is observed that

- 100 % of experts in each category agree somewhat to strongly that "Analytical Skills" is critical factors for "Ability to Perform" of a knowledge worker.
- Thus the view that "Analytical Skills" is critical factor for "Ability to Perform" of a knowledge worker is supported by experts.

Table 6.27: Frequency Distribution of Experts Views on "Analytical Skills" as Critical Factors for "Ability to Perform":

N (Academia) = 9; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	22 %	78 %
Consultants	0 %	0 %	45 %	55 %
Industry Practitioners	0 %	0 %	58 %	42 %
Overall	0 %	0 %	44 %	56 %

26. "Customer Orientation" as Critical Factors for "Ability to Perform": Details of the findings are given in Table 6.28 below from which it is observed that

- 100% of experts from consultant and industry practitioners', and 89% from academia category (overall 97%) agree somewhat to strongly that "Customer Orientation" is Critical Factors for "Ability to Perform" of knowledge workers.
- Only 11% experts from academia (overall 3%) somewhat disagreed with it.
- Thus the view that "Customer Orientation" is Critical Factors for "Ability to Perform" of knowledge workers is supported by experts.

Table 6.28: Frequency Distribution of Experts Views on "Customer Orientation" as Critical Factors for "Ability to Perform":

N (Academia) = 9; N (Consultant) = 11; N (Industry Practitioners) = 10

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	11 %	22 %	67 %
Consultants	0 %	0 %	18 %	82 %
Industry Practitioners	0 %	0 %	10 %	90 %
Overall	0 %	3 %	17 %	80 %

27. "Result Orientation" as Critical Factors for "Ability to Perform": Details of the findings are given in Table 6.29 below from which it is observed that

- 100 % of experts in each category agree somewhat to strongly that "Result Orientation" is critical factors for "Ability to Perform" of a knowledge worker.
- Thus the view that "Result Orientation" is critical factors for "Ability to Perform" of a knowledge worker is supported by experts.

28. "Decision Making Skills" as Critical Factors for "Potential to Grow": Details of the findings are given in Table 6.30 below from which it is observed that

- 100 % of experts in each category agree somewhat to strongly that "Decision Making Skills" is critical factors for "Potential to Grow" of a knowledge worker.

- Thus the view that "Decision Making Skills" is critical factors for "Potential to Grow" of a knowledge worker is supported by experts.

Table 6.29: Frequency Distribution of Experts Views on "Result Orientation" as Critical Factors for "Ability to Perform":

N (Academia) = 9; N (Consultant) = 11; N (Industry Practitioners) = 11

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	18 %	78 %
Consultants	0 %	0 %	9 %	92 %
Industry Practitioners	0 %	0 %	18 %	82 %
Overall	0 %	0 %	16 %	84 %

Table 6.30: Frequency Distribution of Experts Views on "Decision Making Skills" as Critical Factors for "Potential to Grow":

N (Academia) = 9; N (Consultant) = 11; N (Industry Practitioners) = 11

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	22 %	78 %
Consultants	0 %	0 %	18 %	82 %
Industry Practitioners	0 %	0 %	55 %	45 %
Overall	0 %	0 %	32 %	68 %

29. **"Self Development" as Critical Factors for "Potential to Grow":** Details of the findings are given in Table 6.31 below from which it is observed that
    - 100% of experts from academia and consultants', and 92% from industry practitioners' category (overall 97%) agree somewhat to strongly that "Self Development" is critical factors for "Potential to Grow" of knowledge workers.
    - Only 8% experts from industry practitioners' (overall 3%) somewhat disagreed.

- Thus the view that "Self Development" is critical factors for "Potential to Grow" of knowledge workers is supported by experts.

Table 6.31: Frequency Distribution of Experts Views on "Self Development" as Critical Factors for "Potential to Grow":

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	0 %	100 %
Consultants	0 %	0 %	9 %	92 %
Industry Practitioners	0 %	8 %	17 %	75 %
Overall	0 %	3 %	9 %	88 %

30. **"Initiative & Motivation" as Critical Factors for "Potential to Grow":** Details of the findings are given in Table 6.32 below from which it is observed that
    - 100 % of experts in each category agree somewhat to strongly that "Initiative & Motivation" is critical factors for "Potential to Grow" of a knowledge worker.
    - Thus the view that "Initiative & Motivation" is critical factors for "Potential to Grow" of a knowledge worker is supported by experts.

31. **"Leadership Qualities" as Critical Factors for "Potential to Grow":** Details of the findings are given in Table 6.33 below from which it is observed that
    - 100% of experts from industry practitioners', 91% from consultant, and 89% from academia category (overall 94%) agree somewhat to strongly that "Leadership Qualities" is critical factors for "Potential to Grow" of knowledge workers.
    - Only 11% experts from academia and 9% of experts from consultants' category (overall only 6%) somewhat disagreed with it.
    - Thus the view that "Leadership Qualities" is critical factors for "Potential to Grow" of knowledge workers is supported by experts.

Table 6.32: Frequency Distribution of Experts Views on "Initiative & Motivation" as Critical Factors for "Potential to Grow":

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 11

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	10 %	90 %
Consultants	0 %	0 %	9 %	92 %
Industry Practitioners	0 %	0 %	27 %	73 %
Overall	0 %	0 %	16 %	84 %

Table 6.33: Frequency Distribution of Experts Views on "Leadership Qualities" as Critical Factors for "Potential to Grow":

N (Academia) = 9; N (Consultant) = 11; N (Industry Practitioners) = 11

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	11 %	22 %	67 %
Consultants	0 %	9 %	18 %	73 %
Industry Practitioners	0 %	0 %	36 %	64 %
Overall	0 %	6 %	26 %	68 %

32. "Winning Instinct" as Critical Factors for "Potential to Grow": Details of the findings are given in Table 6.34 below from which it is observed that

- 100% experts from industry practitioners, 91% from consultants' and 89% from academia category (overall 90%) agree somewhat to strongly that "Winning Instinct" is critical factors for "Potential to Grow" of knowledge workers.
- Only 11% of experts from academia and 9% from consultants' category (overall only 10%) somewhat disagreed with it.
- Thus the view that "Winning Instinct" is critical factors for "Potential to Grow" of knowledge workers is supported by experts.

Table 6.34: Frequency Distribution of Experts Views on "Winning Instinct" as Critical Factors for "Potential to Grow":

N (Academia) = 9; N (Consultant) = 11; N (Industry Practitioners) = 11

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	11 %	22 %	67 %
Consultants	0 %	9 %	46 %	45 %
Industry Practitioners	0 %	0 %	27 %	73 %
Overall	0 %	10 %	32 %	58 %

33. **"Creativity" as Critical Factors for "Ability to Change":** Details of the findings are given in Table 6.35 below from which it is observed that

- 100% of experts from industry practitioners and consultants, and 89% from academia category (overall 97%) agree somewhat to strongly that "Creativity" is critical factors for "Ability to Change" of knowledge workers.
- Only 11% of experts from academia (overall only 3%) strongly disagreed with it.
- Thus the view that "Creativity" is critical factors for "Ability to Change" of knowledge workers is supported by experts.

Table 6.35: Frequency Distribution of Experts Views on "Creativity" as Critical Factors for "Ability to Change":

N (Academia) = 9; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	11 %	0 %	11 %	78 %
Consultants	0 %	0 %	27 %	73 %
Industry Practitioners	0 %	0 %	33 %	67 %
Overall	3 %	0 %	25 %	72 %

34. "Team Spirit" as Critical Factors for "Ability to Change": Details of the findings are given in Table 6.36 below from which it is observed that

- 100% of experts from academia and consultants, and 82% from industry practitioners' category (overall 94%) agree somewhat to strongly that "Team Spirit" is critical factors for "Ability to Change" of knowledge workers.
- Only 18% experts from industry practitioners' (overall 6%) somewhat disagreed.
- Thus the view that "Team Spirit" is critical factors for "Ability to Change" of knowledge workers is supported by experts.

Table 6.36: Frequency Distribution of Experts Views on "Team Spirit" as Critical Factors for "Ability to Change":

N (Academia) = 9; N (Consultant) = 11; N (Industry Practitioners) = 11

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	11 %	89 %
Consultants	0 %	0 %	36 %	64 %
Industry Practitioners	0 %	18 %	36 %	46 %
Overall	0 %	6 %	29 %	65 %

35. "Interpersonal Skills" as Critical Factors for "Ability to Change": Details of the findings are given in Table 6.37 below from which it is observed that

- 100% of experts from academia and consultants, and 92% from industry practitioners' category (overall 97%) agree somewhat to strongly that "Interpersonal Skills" is critical factors for "Ability to Change" of KWs.
- Only 8% experts from industry practitioners' (overall 3%) somewhat disagreed.
- Thus the view that "Interpersonal Skills" is critical factors for "Ability to Change" of knowledge workers is supported by experts.

Table 6.37: Frequency Distribution of Experts Views on "Interpersonal Skills" as Critical Factors for "Ability to Change":

N (Academia) = 9; N (Consultant) = 11; N (Industry Practitioners) = 12

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	0 %	100 %
Consultants	0 %	0 %	36 %	64 %
Industry Practitioners	0 %	8 %	17 %	75 %
Overall	0 %	3 %	19 %	78 %

36. "People Development" as Critical Factors for "Ability to Change": Details of the findings are given in Table 6.38 below from which it is observed that

- 100% of experts from academia, 91% from consultants, and 82% from industry practitioners' category (overall 91%) agree somewhat to strongly that "People Development" is Critical Factors for "Ability to Change" of knowledge workers.
- Only 9% of experts from consultants and 18% from industry practitioners' category (overall only 9%) somewhat disagreed with it.
- Thus the view that that "People Development" is Critical Factors for "Ability to Change" of knowledge workers is supported by experts.

Table 6.38: Frequency Distribution of Experts Views on "People Development" as Critical Factors for "Ability to Change":

N (Academia) = 10; N (Consultant) = 11; N (Industry Practitioners) = 11

	% Response			
	Strongly Disagree	Somewhat Disagree	Somewhat Agree	Strongly Agree
Academia	0 %	0 %	20 %	80 %
Consultants	0 %	9 %	46 %	45 %
Industry Practitioners	0 %	18 %	27 %	55 %
Overall	0 %	9 %	31 %	59 %

37. Experts Views on idea of combining Objective Assessment through KRAs, Assessment of Potential & Traits through objective tool, and results of 360 degree feedback to arrive at overall performance of a knowledge worker:

Industry Practitioners:

1) It will certainly help develop a better PMS
2) It will help in making the entire PMS process more objective and transparent
3) It will help lower employee dissatisfaction especially the normalization process
4) It will help and facilitates capture details totally
5) It is a very innovative approach and well thought of
6) Its far more scientific than just using the BSC and shallow sounding leadership competencies
7) It is a good idea to incorporate all aspects of PM in one system
8) Excellent concept as the appraisals of knowledge workers requires a much more rounded and comprehensive approach than the standard KRA based assessment, which is more suitable for sales and production people.
9) There is a dearth of models which address this need and the combination proposed here of KRA's, Traits and 360 degree feedback should give the needed "wholeness" to the appraisal of knowledge workers
10) This would lend the PMS process the amenability of objectivity / transparency which would in turn lead to acceptability by the demanding KW of today

Consultants:

1) Such a comprehensive approach should help create an integrated system of evaluation
2) As a concept, the combination of objectivity of measurable KRAs blended with the subjectivity of attributes related to competencies and traits related to performance, potential and ability to change is admirable and worthy of pursuing so as to come up with a comprehensive performance and development system
3) Agree it is needed
4) It is only fair for all involved to atleast combine the three to do an overall assessment of a knowledge worker.

5) The idea seems excellent as it combines the various positives of Evaluation and Developmental mechanisms
6) It will help to assess overall performance of knowledge workers.
7) Ideally separate potential from performance. What - Goals; How – Values
8) Combining 360 degree may or may not dilute the correctness or validity of results.
9) We don't subscribe to 360 degree feedback as an assessment tool. I am not sure if it is useful to combine 360 with other measures especially when we have taken a stand that 360 is a subjective tool. In any case there should be no one opinion for innovations.

Academicians:

1) Objectivity in PMS will result only if you combine all the three aspects and this innovative perspective need to be further explored.
2) One, PMS will work better; two, Employee's trust and respect for the system would increase;
3) The combination of subjective, objective and assessments by people around you, is very interesting and the right way forward
4) This will be comprehensive, multi-source, remove biases and give opportunity to develop granular action plan
5) Highly important; as a scientific and "objective" measurement tools that are reliable and valid and seen to be reliable and valid are needed
6) It is a unique concept. The desired objective will be achieved. Point to be noted that KRAs has theoretical limitations
7) Idea of combining said methods is very good and need of the time.
8) Its a great initiative
9) One, this model would be a novel idea; two, should outcome be positive and constructive, idea is refreshingly welcomed, three, PMS is a process driving system. Process could decide outcome

In summary experts views suggest that idea of combining Objective Assessment through KRAs, Assessment of Potential & Traits through objective tool, and results of

360 degree feedback to arrive at overall performance of a knowledge worker is an innovative approach, which will give a better PMS that is holistic / integrated, objective and transparent and hence help in reducing employee dissatisfaction. However, one of the experts is not sure about usefulness of combining 360 degree with other measures.

38. Experts Views on "OASIS" Model for performance appraisal:

Industry Practitioners:

1) OASIS is really a wonderful concept where the overall perspective of objective assessment is done through KRA and subjective impression along with sharing is taken into consideration which makes it wholesome.
2) Holistic combination of OASIS is indeed an innovative and progressive idea for PMS in any organization.
3) The model is comprehensive as it takes into account, the financial / numerical performance, and the assessment of traits and potential – that plays a major role in effectiveness on the job. 360 degree assessment removes the bias and provides the role holder with a comprehensive, non threatening feedback.
4) Companies adopting this tool will certainly benefit on all aspects of developing human capital
5) Overall it seems to be aimed at objectivity of the process.
6) It will reduce the task of HR professional by increasing the objectivity and lowering the softer aspects currently prevalent in the PMS process
7) A good model.
8) The conceptual framework for OASIS is well thought through and tries to cover all aspects that can impact the performance of knowledge workers.
9) This clearly addresses if not totally remove some obvious pitfalls of a process which cannot do away with subjectivity anyways.
10) The element of sharing in this model also addresses a major gap that was a lurking fear in the minds of all who were part of the 360 degree feedback including both the subjects and the respondents involved.
11) Excellent conceptual structure needs working on the execution part.

12) Objective analysis leads to capture work process and also introduce newer dimension to work process. Results can facilitate better customer services and bring in overall financial outcomes.
13) OASIS evaluates a variety of attributes which are helping to improve performance by analysing factors such as ability to perform, potential to grow, ability to change, integrity etc. OASIS helps in enhancing competence of the KW.
14) Behavioural competencies need to be measured in more detailed manner
15) It needs to be simplified so that it does not lose its 'punch' and impact.
16) Though it's a good model to measure performance but appears to be a bit lengthy & time consuming.
17) One needs to understand the feasibility of implementing it in an actual work environment
18) However, the pitfalls may arise if practical implementation is not carefully done
19) As many people do not regard 360 degree very seriously, hence challenges would be faced.

Consultants:

1) It will bring alignment to company and individual goals.
2) OASIS as envisaged is comprehensive model for assessment performance. The model has included all aspects of KW performance
3) Good effort at blending results orientation with potential assessment
4) An excellent concept.
5) Good model
6) It is comprehensive and a robust attempt.
7) Worth taking forward, and be refined based on the feedback.
8) Worth giving it a shot.
9) OASIS is an attractive and impacting model as it delves on the anatomy of the PM process and brings together almost all parts of performance – absolute and relative and delivers planned growth for the individual.
10) The Model seems idealistic.
11) From purely possibility point of view, this mechanism is extremely well thought out!

12) On “OASIS” model – there is three dimension assessments. At any given time will be more objective and realistic.
13) The model is simple to comprehend and not too mathematical or confusing. TAR, OCN, I Factor and S Factor are well laid out and defined.
14) It will be powerful assessment tool for performance assessment of knowledge workers. This model’s focus is on making knowledge workers more competent and not comfortable. In reality today organizations are focus on making Knowledge Workers comfortable than competitive keeping in mind knowledge workers life time in organization on an average is three years.
15) Administration of this model can still be mired in doubt due to complexity.
16) Measurement systems for anything other than line jobs will still continue to be difficult especially to assess ‘levels’ of performance and arrive at clear achievement scores even under these. That has not been fully addressed in this model.
17) Mixing up a 360 degree assessment here in ‘assessment’ is not something comfortable. Using ‘potential/leadership assessment’ to advance people into people and business management roles is a great idea.
18) Subject Matter Experts are a great asset and may perform well but have limited potential. This assessment will create problems for such people.
19) Integrity is about doing what you said you would do, going out of the way to be fair and just so that you can be trusted. Other aspects need to be used in that arena.
20) I am seeing this model as a further ‘left brained’ attempt to make an assessment more comprehensive. I am still worried that elements which can be assessed for development are being used for ‘assessment’. (e.g. 360 and Knowledge etc)
21) While integrity is a desirable attribute, it need not be clubbed with 15 attributes of OCN for sake of giving it the same weightage factor. OCN would play a larger role in person's ability to perform, change and grow and must not be at the same level as integrity. So give “I” a lower weightage. In the current equation you may run the risk of someone getting a higher OASIS number even if OCN is low simply because “I” is very high.

Academicians:

1) It will considerably reduce subjective evaluation of individuals.
2) KRA's formations will become specific as also the P&T.
3) I completely agree with the Genesis and Analogy of the OASIS model
4) Objective assessment through BSC would be more workable with an understanding feedback;
5) The sharing aspect through 360 degree feedback and counselling appear impressive;
6) Would help to a great extent
7) It is innovative and looks doable
8) Great Start! The instrument needs experimentation, research and refinement over time.
9) It is a good workable model.
10) Model is comprehensive and innovative too.
11) The sharing dimension is more important specially what is being shared is informative and mutually progressive
12) I would recommend use, but with constant reviews of the instrument
13) Process oriented focus is appropriate. Feedback and counselling would go a long way in enhancing the system.
14) The tool/model needs to be supported well by organisation culture and maturity level of appraiser and appraisee.
15) There is one more factor researcher might like to consider to make model even more comprehensive is “SQ”. To put it simple, ‘how far KW - is able to derive joy and happiness at work, - is ready to work without attaching it with reward but for reaching out at personal excellence, - is able to remain peaceful in high conflict argumentative situation and finally – is viewing at work profile to ‘serve’ others (colleagues or other stake holders).
16) The weightage A, B, C (read as alpha, beta, and gamma for TAR, SI, & S Factor) need to be determined in a defensible way
17) It will be appropriate and useful to add aspect of spearheading required culture for measuring integrity part

18) Proper validation at later stage will be helpful in fine tuning the same.
19) Since it is a critical tool with strong implications continuous research and evolution is a must.
20) Minimising the subjective impression would always be a challenge.
21) Implementing the model will require creating employee buy in and a culture of mutual acceptance and trust need to be built
22) As it is very technical in nature and lot of calculation is involved to arrive at final assessment score and also SI and S factor has high potential of subjective errors, it would need lot of understanding and expertise to use this model for PA in industry.
23) Getting such appraisers at every level would be tough for company.
24) Model is also silent on how to identify 'mismatch' and for them how to find 'matching jobs'. This can be put in for future research scope.

In summary experts views suggest that "OASIS" Model for performance appraisal is an innovative, wonderful, wholesome, progressive concept for PMS that will align company and individual goals, reduce biases by lowering softer aspects currently prevalent in the PMS, and help in developing all aspects of human capital. It is an impacting model that delves on the anatomy of the performance management process and brings together almost all parts of performance to make knowledge workers more competent. However, one of the experts have suggested that Behavior competencies and integrity need to be measured in more detailed manner and another has suggested that model need to be simplified to retain its punch. One expert has expressed the need to define process for dealing with SMEs and how to identify 'mismatch' and 'matching jobs' for them.

39. Experts Views on practical application of "OASIS" Model:

Industry Practitioners:

1) It is very practical. Organisations need to introduce it, and atleast give a few odd years to allow it to settle

2) Given the technological and analytical support, there will not be too many insurmountable problems in implementing this – what is required is the will to accommodate an element of change inherent in this.
3) Plenty. More thought needs to be given on the implementation aspects. E.g. as the knowledge worker progresses in his / her career, the method(s) used for assessment must also evolve. With technology progressing at a fast clip, need to capture many more data points online.
4) As with any new innovative idea the first time implementation of OASIS in an organization will require careful planning and internal communication.
5) OASIS has the potential of becoming acceptable and beneficial performance enhancing methodology
6) OASIS model has a fair chance of working as it involves objective assessment with subjective impression. And free sharing process is to be observed.
7) Will depend on the level of organizational maturity (assessee, assessors and peers) as it involves a complete shift from current practices.
8) It is a "change initiative" and needs to be proposed keeping in view the dynamics and readiness.
9) Will involve a lot of preparatory work.
10) It should be first administered to a set of people as pilot project and then based on the outcome & acceptability shall be considered to implement.

Consultants:

1) Worth trying it out. All forms of measurement have some issue or the other.
2) Success will depend upon Buy-in at all levels. The Employee will be concerned about what's in it for me and the Line Manager needs to be convinced that the extra time needed for getting the Appraisal done is worth the effort. My own experience shows that the process of confronting employees during an Appraisal meeting is more difficult than PMDS which may be adopted by a particular organization.
3) Can be used, although the operationalization of the concept will require extensive pre-deployment communication and concurrent support, to both reviewers and assessors

4) Awareness workshops will help users understand the concepts
5) The adoption of this system by a corporate, given the elaborate complexity of the model may make it difficult to implement and run the system with the intended good intentions.
6) Practicality of model's implementation in an organization shall be a major challenge. In fact this is true with any PMS model.
7) At the outset it appears cumbersome , as process matures it could become routine and easy to administer, challenge will be to sustain system
8) Adoptability to this model will take slightly more time.
9) Not very practical, shall take lot of time to implement and data assimilation analysis, appraiser's training shall be a major challenge

Academicians:

1) This model is highly practical due to its mathematical component.
2) OASIS model has a fair chance of working as it involves objective assessment with subjective impression. And free sharing process is to be observed.
3) Very useful and implementable
4) No doubts about it. At the moment, it takes some time to understand the components, but further simplification would help
5) It seems practical and given the fact that there is a computer program to compute it will not seem onerous
6) No reason, why it should not succeed?
7) To make it user friendly and successful, lot of employee education is a must
8) The scope will be confined to identical situation. With small variations in the situation, it will pose a question

In summary experts views suggest that "OASIS" is very practical model with fair chance to succeed. It will not face too many insurmountable problems in implementing. Process of confronting employees during appraisal meeting is more difficult than PMDS. However, One expert has expressed that model is cumbersome and complex and hence success will depend upon level of organizational maturity & readiness, communication and buy-in.

40. Experts Views on approach of Ranking through "OASIS" Number rather than forced Normalization:

Industry Practitioners:

1) Ranking through OASIS in preference to normalization which has the perception of being forced overcomes employee resistance to acceptance of rating
2) Ranking helps assessor to communicate effectively.
3) Ranking is a more objective, fair and holistic.
4) Definitely a better way out. Ensures transparency and is more objective / lesser chances of employee grievances.
5) Ranking shall minimise grievances caused by forced normalization to a very large extent.
6) Ranking is a better approach as it forces one to compare the knowledge workers among the peers.
7) Knowledge workers do work in teams and compete with peers on intellectual prowess; a ranking approach will be understood by all and will also bring in a spirit of healthy competitiveness amongst all.
8) Ranking does away with the reasons to "force normalization" and hence gives the comfort of objectivity / transparency while doing it.
9) The method for ranking will be more comprehensive under OASIS.
10) Ranking will make resources more optimum & utilized. The forced normalization process normally does create really forced to do unfair with others who may be very well deserved.
11) Both the systems have their share of pros & cons. Even OASIS rating can be put under forced normalization if required. OASIS number can be certainly used in isolation for performance measurement but forced normalization is always dependent on some sort of rating system.

Consultants:

1) Ranking is a Judicious Mix !
2) The only difference is that ranking differentiates between two individuals doing identical roles - otherwise, both have their pros and cons

3) Ranking is a Good idea
4) Ranking and normalization objectives shall be clarified first, OASIS method seems to be better than forced normalization.
5) Forced Normalization has become a bit ancient and any direct ranking such as provided by “OASIS” will have success if users are trained well.
6) Ranking could be a leap in the research field of performance management. Great Job.
7) Anything is better than forced normalization so its definitely an improved concept
8) Ranking through OASIS number will have more buy in from Knowledge Workers than force normalization
9) Not sure if the normalization problem is solved elegantly. It may well have created a different sort of a problem by mixing performance and potential and used it to assess performance

Academicians:

1) Ranking indicates specific position rather than rating which shows a clustered position.
2) Ranking is an effective way to arrive at percentile.
3) A fair ranking using OASIS Number would enhance the process further.
4) An open and mutually agreed ranking is always welcomed at all levels
5) This is in effect an index, and permits a percentile ranking. This is definitely easier to accept.
6) Normalization works where the organization has legacy of collecting many non-performers. It also helps identify who needs help where. However, the approach of ranking through "OASIS" will work in differentiating among very good performers. This ranking will be fair and based on overall assessment
7) Better depend on "OASIS", because forced normalization has its inbuilt defects, which are crucial. Better avoid it
8) OASIS number can be more reliable than forced normalization
9) OASIS number ranking is done by appraisers whom appraisees can trust would work. Anything forced seldom works for long.
10) Ranking is more acceptable than rating as numbers can be seen

11) Why rank or normalise, etc. GE itself is jettisoning this.

In summary experts views suggest that as compared to forced normalization, ranking through "OASIS" is a better, objective, fair, holistic, transparent, judicious and reliable concept. Ranking will reduce employee resistance to acceptance of rating. However, one expert is not sure if the normalization problem will be solved elegantly through "OASIS" model as it may well have created a different sort of a problem by mixing performance and potential and used it to rank.

VI.6 Discussions on Experts Views on "OASIS" Model:

Out of 36 parameters on which experts view were sought on Strong disagreement to Strong agreement (4 point scale) on

- 26 parameters 90% and more of the experts have somewhat or strongly agreed
- 29 parameters 80% and more of the experts have somewhat or strongly agreed
- 33 parameters 70% and more of the experts have somewhat or strongly agreed
- 34 parameters 60% and more of the experts have somewhat or strongly agreed
- 36 parameters 50% and more of the experts have somewhat or strongly agreed

Parameter-wise % of experts agreeing somewhat to strongly is given below.

- 100 % of experts in each category agree somewhat to strongly that it is important to measure both lead and lag performance indicators for knowledge workers.
- 100 % of experts in each category agree somewhat to strongly that comprehensive KRA framework for each job as explained in "OASIS Model" will help in improving performance management.
- 100 % of experts in each category agree somewhat to strongly that Concept of "OCN" (Overall Competence Number) as explained in "OASIS" Model will help in effective assessment of overall potential & Traits of a knowledge worker.
- 100% of experts from academia and consultants', and 92% from industry practitioners' category (overall 97%) agree somewhat to strongly that concept of "TAR" (Target Achievement Ratio) as explained in "OASIS" Model will help in effective assessment of all aspects of the job and overall achievement.

- 100% of experts from academia and industry practitioners, and 90% from consultants' category (overall 97%) agree somewhat to strongly that Potential & Trait measurement technique adopted by "OASIS" model will help reducing subjectiveness in assessment.
- 100% of experts from academia and consultants', and 92% from industry practitioners' category (overall 97%) agree somewhat to strongly that concept of "S Factor" (Sharing Factor) as explained in "OASIS" Model is appropriate in arriving at numeric output of 360 degree assessment tool.
- 100% of experts from academia and industry practitioners', and 91% from consultants' category (overall 97%) agree somewhat to strongly that concept of "OASIS Number" as explained in "OASIS" Model is appropriate in arriving at overall performance and ranking of knowledge workers.
- 100% of experts from industry practitioners, and 90% from academia and consultants' category (overall 94%) agree somewhat to strongly that template used for measuring Integrity factor under "OASIS" model is appropriate.
- 100% of experts from consultants, 92% from industry practitioners, and 90% from academia category (Overall 94%) agree somewhat to strongly that knowledge workers resent forced normalization process to fit the bell curve.
- 92% of experts from industry practitioners, 91% from consultants, and 90% from academia category (overall 91%) agree somewhat to strongly that knowledge workers demand rational logic for any differentiation made between two role holders that affect their rewards / esteem.
- 92% of experts from industry practitioners, 91% from consultants and 90% from academia categories (overall 91%) agree somewhat to strongly that strong need to develop comprehensive model of performance management for knowledge workers exist.
- 100% of experts from industry practitioners,73% from consultants, and 60% from academia category (overall 79%) agree somewhat to strongly that knowledge workers resent being measured only on number oriented systems
- 90% of experts each from academia and consultants, and 80% from industry practitioners' category (overall 87%) agree somewhat to strongly that current

performance management practices fall short in effectively addressing dynamic nature of the job for knowledge worker.

- 100% of experts from academia, 90% from Industry practitioners and 67% from consultants' category (overall 85%) agree somewhat to strongly that current performance management practices fall short in effectively addressing Unique Characteristics of the job for Knowledge workers.
- 80% of experts each from industry practitioners and consultants, and 67% from academia' categories (overall 76%) agree somewhat to strongly that current performance management practices fall short in effectively addressing Interdependence of the job for Knowledge Worker.
- 78% of experts each from academia and Industry practitioners and 67% from consultants' category (overall 74%) agree somewhat to strongly that current performance management practices fall short in effectively addressing desired communication level for knowledge workers.
- 80% of experts from consultants, 78% from academia and 63% from industry practitioners' categories (overall 74%) agree somewhat to strongly that current performance management practices fall short in effectively addressing Team work for Knowledge Worker.
- 90% of experts from industry practitioners and academia, and 63% from consultants, (Overall 82%) agree somewhat to strongly that measuring job done by Knowledge Workers is difficult because they need to acquire & Synthesize Knowledge.
- 78% of experts from industry practitioners, 75% from consultants, and 56% from academia category (Overall 69%) agree somewhat to strongly that measuring job done by Knowledge Workers is difficult because Permeable Home / Work / Travel Boundaries.
- 60% of experts from academia, 55% from consultants, and 50% from industry practitioners category (Overall 55%) agree somewhat to strongly that measuring job done by Knowledge Workers is difficult
- 67% of experts from industry practitioners, 44% from academia and 38% from consultants' category (Overall 50%) agree somewhat to strongly that measuring

job done by knowledge workers is difficult because lot of time is spent communicating

- 100 % of experts in each category agree somewhat to strongly that “Planning ability” is critical factors for “Ability to Perform” of a knowledge worker.
- 100 % of experts in each category agree somewhat to strongly that “Analytical Skills” is critical factors for “Ability to Perform” of a knowledge worker.
- 100 % of experts in each category agree somewhat to strongly that “Result Orientation” is critical factors for “Ability to Perform” of a knowledge worker.
- 100% of experts from academia and industry practitioners’, and 91% from consultants’ category (overall 97%) agree somewhat to strongly that “Knowledge” is critical factors for “Ability to Perform” of knowledge workers.
- 100% of experts from academia and consultants’, and 90% from industry practitioners’ category (overall 97%) agree somewhat to strongly that “Communication Skills” is critical factors for “Ability to Perform” of knowledge workers.
- 100% of experts from consultant and industry practitioners’, and 89% from academia category (overall 97%) agree somewhat to strongly that “Customer Orientation” is Critical Factors for “Ability to Perform” of knowledge workers.
- 100 % of experts in each category agree somewhat to strongly that “Decision Making Skills” is critical factors for “Potential to Grow” of a knowledge worker.
- 100 % of experts in each category agree somewhat to strongly that “Initiative & Motivation” is critical factors for “Potential to Grow” of a knowledge worker.
- 100% of experts from academia and consultants’, and 92% from industry practitioners’ category (overall 97%) agree somewhat to strongly that “Self Development” is critical factors for “Potential to Grow” of knowledge workers.
- 100% of experts from industry practitioners’, 91% from consultant, and 89% from academia category (overall 94%) agree somewhat to strongly that “Leadership Qualities” is critical factors for “Potential to Grow” of knowledge workers.
- 100% of experts from industry practitioners, 91% from consultants’ and 89% from academia category (overall 90%) agree somewhat to strongly that “Winning Instinct” is critical factors for “Potential to Grow” of knowledge workers.

- 100% of experts from industry practitioners and consultants, and 89% from academia category (overall 97%) agree somewhat to strongly that “Creativity” is critical factors for “Ability to Change” of knowledge workers.
- 100% of experts from academia and consultants, and 92% from industry practitioners’ category (overall 97%) agree somewhat to strongly that “Interpersonal Skills” is critical factors for “Ability to Change” of knowledge workers.
- 100% of experts from academia and consultants, and 82% from industry practitioners’ category (overall 94%) agree somewhat to strongly that “Team Spirit” is critical factors for “Ability to Change” of knowledge workers.
- 100% of experts from academia, 91% from consultants, and 82% from industry practitioners’ category (overall 91%) agree somewhat to strongly that “People Development” is Critical Factors for “Ability to Change” of knowledge workers

From above following is concluded

There is very high acceptance level by experts for following parameters

1) Knowledge workers resent forced normalization to fit the bell curve
2) Knowledge workers resent being measured only on number oriented system
3) Knowledge workers demand rational logic for any differentiation made
4) Strong need for developing comprehensive model for performance management system for knowledge workers
5) Measuring lead & lag indicators for knowledge workers is important
6) Current performance management systems fall short in addressing dynamic nature, unique characteristics, and interdependence of the job; desired communication level and team work for knowledge workers.
7) OASIS Model will improve performance management system for knowledge workers;
8) “OCN” (Overall Competence Number) concept of “OASIS” model;
9) “TAR” (Target Achievement Ratio) concept of “OASIS” model;
10) Potential & Trait measurement technique under “OASIS” model;
11) “S Factor” concept for arriving at numeric output of 360 degree assessment

12) "OASIS Number" to arrive at overall performance and ranking
13) Template used for arriving at "Integrity" Factor
14) It is difficult to measure job done by knowledge workers as they need to acquire and synthesize knowledge.

There is acceptance level by experts for following parameters

1) It is difficult to measure job done by knowledge workers.
2) It is difficult to measure job done by knowledge workers due to time spent on communication; and permeable home / work / travel boundaries.

There is very high acceptance level by experts for following parameters

1) Planning ability; Analytical skills; Result orientation; Knowledge; Communication skills; and Customer orientation are critical factor for "Ability to Perform" for knowledge worker.
2) Decision making skills; Initiative and motivation; Self development; Leadership qualities; and Winning instinct are critical factors for "Potential to Grow" for knowledge workers.
3) Creativity; Interpersonal skills; Team spirit; and People development are critical factors for "Ability to Change" for knowledge worker.

- As per experts combining objective assessment, subjective impression and sharing is an innovative approach, which will give a better PMS that is holistic / integrated, objective and transparent and hence help in reducing employee dissatisfaction. Two out of 33 experts are unsure about usefulness of combining 360 degree with other measures.
- As per experts "OASIS" is an innovative, wonderful, wholesome, progressive concept for PMS that will align company and individual goals, reduce biases by lowering softer aspects currently prevalent in the PMS, and help in developing all aspects of human capital. It is an impacting model that delves on the anatomy of the performance management process and brings together almost all parts of

performance to make knowledge workers more competent. Improvement suggestions received are

  - Behaviour competencies and integrity need to be measured in more detailed manner.
  - Simplify the model to retain its punch
  - Incorporate method to deal with SMEs (Subject Matter Experts) who may be high performers but with low potential to grow
  - Incorporate method to identify 'mismatch' and 'matching jobs' for them.

- Most of the experts feel that "OASIS" is very practical model with fair chance to succeed. It will not face too many insurmountable problems in implementing. Process of confronting employees during appraisal meeting is more difficult than PMDS. Many experts felt that the success of "OASIS" will depend upon level of organizational maturity & readiness, communication process and buy-in by stakeholders.
- Experts are almost unanimous that as compared to forced normalization, ranking through "OASIS" is a better, objective, fair, holistic, transparent, judicious and reliable concept. Ranking will reduce employee resistance to acceptance of rating. However, one expert did express the doubt if normalization problem is solved elegantly or "OASIS" may well create a different sort of a problem by mixing performance and potential and used it to rank.

On the whole experts' views reveal that "OASIS" model delves on the anatomy of the performance management process and brings together almost all parts of performance to make knowledge workers more competent. "OASIS" is an impacting model that is well conceived, innovative, wonderful, progressive, holistic, integrated and transparent. "OASIS" will help aligning company and individual goals, developing all aspects of human capital and reducing biases and employee dissatisfaction. "OASIS" is very practical model with fair chance to succeed.

Some more insights may emerge after the test results of the proposed model "OASIS" and views of respective departmental heads on results are obtained.

Chapter VII "OASIS" MODEL – A CASE STUDY AT APTECH Ltd

VII.1 Findings from the Case Study

1. Level of Performance Differentiation Achieved – Legacy System v/s "OASIS":

Details of number of employees under each performance group as desired v/s as given by legacy system and "OASIS" are given in Table 7.1 below.

Table 7.1 Number of Employees in each performance Group: Required v/s Actual by Legacy System, and Required v/s Actual as per "OASIS" Model:

Performance Group	5	4	3	2	1	SD
Required % Distribution	10%	20%	40%	20%	10%	
Department 1: Total Sample Size (Nos.)			16			
Required No. of employees (A)	2	3	6	3	2	1.21
Actual as per Legacy System (B)	1	5	8	2	0	0.79
Actual as per "OASIS" model (C)	2	3	6	3	2	1.21
Department 2: Total Sample Size (Nos.)			16			
Required No. of employees (A)	2	3	6	3	2	1.21
Actual as per Legacy System (B)	1	2	9	3	1	0.93
Actual as per "OASIS" model (C)	2	3	6	3	2	1.21
Department 3: Total Sample Size (Nos.)			18			
Required No. of employees (A)	2	4	7	4	1	1.08
Actual as per Legacy System (B)	0	2	15	1	0	0.42
Actual as per "OASIS" model (C)	2	4	7	4	1	1.08
Department 4: Total Sample Size (Nos.)			19			
Required No. of employees (A)	2	4	7	4	2	1.16
Actual as per Legacy System (B)	0	1	7	11	1	0.69
Actual as per "OASIS" model (C)	2	4	8	4	1	1.16

- From the table 7.1, it is observed that desired standard deviation for defined performance groups for test group 1 to 4 is 1.21, 1.21, 1.08, and 1.16 respectively while that obtained by legacy system is 0.79, 0.93, 0.42, and 0.69 respectively. This gives a variance of 23% to 61% in Standard deviation between desired differentiation and actual differentiation produced by legacy system clearly indicates suboptimal differentiation.

- Standard Deviation of results produced by "OASIS" Model is exactly in line with expected results confirming desired level of differentiation. Thus, "OASIS" model meets its objective of achieving differentiation objectively and optimally.

2. Subjectivity in Overall Assessment under Legacy System:

Table 7.2: Employees' PGs based on KRA Ratings and Normalized Ratings under Legacy System:

Department 1			**Department 2**			**Department 3**			**Department 4**		
ID	**A**	**B**	**ID**	**A**	**B**	**ID**	**A**	**B**	**ID**	**A**	**B**
E1	5	4	E21	5	4	E41	5	4	E61	5	3
E2	5	3	E22	5	4	E42	5	3	E62	5	3
E3	4	4	E23	5	2	E43	4	4	E63	4	3
E4	4	3	E24	4	3	E44	4	3	E64	4	2
E5	4	4	E25	4	3	E45	4	3	E65	4	3
E6	3	5	E26	3	3	E46	4	3	E66	4	2
E7	3	3	E27	3	3	E47	3	3	E67	3	4
E8	3	3	E28	3	3	E48	3	3	E68	3	2
E9	3	3	E29	3	5	E49	3	3	E69	3	2
E10	3	4	E30	3	3	E50	3	3	E70	3	3
E11	3	2	E31	3	2	E51	3	3	E71	3	2
E12	2	2	E32	2	3	E52	3	3	E72	3	3
E13	2	3	E33	2	3	E53	3	3	E73	3	3
E14	2	3	E34	2	2	E54	3	3	E74	3	2
E15	1	4	E35	1	3	E55	3	3	E75	2	2
E16	1	3	E36	1	1	E56	3	3	E76	2	2
						E57	3	2	E77	2	2
						E58	1	3	E78	1	1
									E79	1	2
	Correlation			**Correlation**			**Correlation**			**Correlation**	
	0.208			**0.393**			**0.415**			**0.539**	

ID: Employee identification; A: PG based on KRA Rating; B: PG based on Normalized Rating;

Details of employees' performance group based on KRA rating and Normalized rating is given in Table 7.2above. For the four departments under study, correlation factor between PGs based on KRA ratings and Normalized ratings ranged from 0.208 to 0.539.

This low correlation factor indicates that fairly high degree of subjective judgment is applied by concerned authorities while normalizing relegating the actual performance measured. Variance in correlation amongst department may be due to different assessors.

3. Comparison of Objective Assessment under Legacy System & "OASIS" Number

Details of employees' performance ratingbased on Target v/s Achievement of KRA assessment by legacy system and "OASIS Number" is given in Table 7.3below.

Table 7.3: Correlation between employees' Legacy KRA Rating & OASIS Number:

Department 1			Department 2			Department 3			Department 4		
ID	**C**	**D**	**ID**	**C**	**D**	**ID**	**C**	**D**	**ID**	**C**	**D**
E1	4.05	0.2807	E21	3.75	0.1745	E41	3.60	0.2448	E61	2.45	0.1993
E2	4.00	0.2636	E22	3.70	0.2425	E42	3.60	0.2355	E62	2.20	0.1983
E3	3.95	0.2582	E23	3.70	0.2379	E43	3.50	0.2344	E63	2.00	0.2310
E4	3.90	0.2588	E24	3.55	0.2419	E44	3.50	0.2374	E64	2.00	0.1979
E5	3.75	0.2764	E25	3.40	0.2447	E45	3.45	0.2188	E65	1.90	0.2130
E6	3.60	0.2569	E26	3.30	0.2391	E46	3.40	0.2339	E66	1.90	0.1947
E7	3.70	0.2622	E27	3.30	0.1644	E47	3.20	0.2463	E67	1.85	0.2380
E8	3.55	0.2569	E28	3.30	0.2418	E48	3.20	0.2331	E68	1.85	0.2165
E9	3.50	0.2525	E29	3.10	0.2627	E49	3.19	0.1843	E69	1.65	0.2191
E10	3.45	0.2583	E30	3.10	0.2358	E50	3.10	0.2320	E70	1.60	0.2247
E11	3.45	0.2427	E31	3.10	0.2269	E51	3.00	0.2224	E71	1.60	0.2085
E12	3.40	0.2236	E32	2.75	0.2296	E52	3.00	0.1933	E72	1.50	0.2156
E13	3.35	0.2437	E33	2.60	0.1850	E53	3.00	0.2085	E73	1.50	0.1900
E14	3.35	0.2309	E34	2.55	0.2499	E54	3.00	0.2142	E74	1.50	0.1662
E15	3.30	0.2284	E35	1.80	0.1775	E55	3.00	0.2352	E75	1.40	0.2255
E16	3.20	0.2113	E36	1.35	0.1208	E56	3.00	0.1887	E76	1.40	0.2212
						E57	3.00	0.2315	E77	1.40	0.1919
						E58	2.10	0.1265	E78	1.35	0.1923
									E79	1.25	0.1966
	Correlation			**Correlation**			**Correlation**			**Correlation**	
	0.823			**0.574**			**0.788**			**0.108**	
ID: Employee identification; C: KRA Rating; D: Normalized Rating;											

From table 7.3 it is observed that, for the four departments under study, correlation factor between employees' KRA rating by legacy system and OASIS Number ranged from 0.108 to 0.823. This indicates that fairly high degree of value addition done by the

"OASIS" Model to refine objectivelymeasuring overall performance as compared to legacy system. Wide range of variance in correlation could be due to 1) differences in assessors; 2) differences in defining KRAs and MIs; 3) differences brought in due to Subjective Impression and Sharing parts of the assessment under "OASIS" Model.

4. Value Addition by "OASIS" Model in overall Assessment:

Table 7.4: Correlation between employees' PG based on Normalized Rating under Legacy Systemand OASIS Ranking:

Department 1			**Department 2**			**Department 3**			**Department 4**		
ID	**B**	**E**	**ID**	**B**	**E**	**ID**	**B**	**E**	**ID**	**B**	**E**
E1	4	5	E21	4	2	E41	4	5	E61	3	3
E2	3	4	E22	4	4	E42	3	4	E62	3	3
E3	4	3	E23	2	3	E43	4	4	E63	3	5
E4	3	4	E24	3	4	E44	3	4	E64	2	3
E5	4	5	E25	3	4	E45	3	3	E65	3	3
E6	5	3	E26	3	3	E46	3	3	E66	2	2
E7	3	4	E27	3	1	E47	3	5	E67	4	5
E8	3	3	E28	3	3	E48	3	3	E68	2	3
E9	3	3	E29	5	5	E49	3	2	E69	2	4
E10	4	3	E30	3	3	E50	3	3	E70	3	4
E11	2	2	E31	2	3	E51	3	3	E71	2	3
E12	2	1	E32	3	3	E52	3	2	E72	3	3
E13	3	3	E33	3	2	E53	3	2	E73	3	1
E14	3	2	E34	2	5	E54	3	3	E74	2	1
E15	4	2	E35	3	2	E55	3	4	E75	2	4
E16	3	1	E36	1	1	E56	3	2	E76	2	4
						E57	2	3	E77	2	2
						E58	3	1	E78	1	2
									E79	2	2
	Correlation			**Correlation**			**Correlation**			**Correlation**	
	0.416			**0.356**			**0.379**			**0.417**	

ID: Employee identification; B: PG based on Normalized Rating; E: PG based on OASIS Number

Details of employees'PGbased on Normalized rating under legacy system and "OASIS" Ranking is given in Table 7.4from which it is observed that for the four departments

under study, correlation factor between employees' PGs based on normalized rating under legacy system and "OASIS"Rank ranged from 0.356 to 0.417. This indicates that fairly high degree of value addition done by the "OASIS" Model to refine the PGs as compared to legacy system.

5. Value Addition by "TAR" in Overall Assessment under "OASIS" Model:

Table 7.5: Correlation between employees' PGs based on OASIS Number v/s "TAR"–"OASIS" Model

Department 1			**Department 2**			**Department 3**			**Department 4**		
ID	**E**	**F**	**ID**	**E**	**F**	**ID**	**E**	**F**	**ID**	**E**	**F**
E1	5	5	E21	2	2	E41	5	3	E61	3	3
E2	4	5	E22	4	5	E42	4	3	E62	3	3
E3	3	3	E23	3	3	E43	4	3	E63	5	4
E4	4	5	E24	4	5	E44	4	5	E64	3	3
E5	5	4	E25	4	5	E45	3	3	E65	3	4
E6	3	3	E26	3	4	E46	3	4	E66	2	1
E7	4	4	E27	1	2	E47	5	4	E67	5	5
E8	3	3	E28	3	4	E48	3	5	E68	3	5
E9	3	3	E29	5	4	E49	2	2	E69	4	3
E10	3	2	E30	3	3	E50	3	5	E70	4	5
E11	2	3	E31	3	3	E51	3	3	E71	3	3
E12	1	3	E32	3	3	E52	2	2	E72	3	5
E13	3	2	E33	2	2	E53	2	3	E73	1	1
E14	2	2	E34	5	4	E54	3	2	E74	1	2
E15	2	1	E35	2	2	E55	4	5	E75	4	5
E16	1	1	E36	1	1	E56	2	2	E76	4	4
						E57	3	3	E77	2	3
						E58	1	1	E78	2	2
									E79	2	3
	Correlation			**Correlation**			**Correlation**			**Correlation**	
	0.768			**0.845**			**0.563**			**0.740**	

ID: Employee identification; E: PG based on OASIS Number; F: PG based on "TAR";

Details of employees'PGbased on "OASIS" Ranking and "TAR" under "OASIS" Model is given in Table 7.5from which it is observed that for the four departments under study, correlation factor between PGs based on OASIS Number and based on "TAR" ranged

from 0.563 to 0.845. This indicates that good degree of dependence between overall assessment and objective assessment as also adequate value addition by other elements of "OASIS" like OCN, I & S Factors.

6. Value Addition by "OCN" in Overall Assessment under "OASIS" Model:

Table 7.6: Correlation between employees' PG based on OASIS Number v/s "OCN"–"OASIS" Model

Department 1			**Department 2**			**Department 3**			**Department 4**		
ID	**E**	**G**	**ID**	**E**	**G**	**ID**	**E**	**G**	**ID**	**E**	**G**
E1	5	5	E21	2	3	E41	5	5	E61	3	2
E2	4	3	E22	4	4	E42	4	3	E62	3	3
E3	3	4	E23	3	3	E43	4	5	E63	5	5
E4	4	2	E24	4	3	E44	4	3	E64	3	2
E5	5	4	E25	4	3	E45	3	1	E65	3	3
E6	3	3	E26	3	2	E46	3	4	E66	2	4
E7	4	3	E27	1	2	E47	5	5	E67	5	5
E8	3	3	E28	3	3	E48	3	2	E68	3	3
E9	3	4	E29	5	5	E49	2	2	E69	4	4
E10	3	5	E30	3	2	E50	3	4	E70	4	3
E11	2	2	E31	3	1	E51	3	3	E71	3	3
E12	1	1	E32	3	5	E52	2	3	E72	3	4
E13	3	3	E33	2	3	E53	2	3	E73	1	3
E14	2	2	E34	5	4	E54	3	3	E74	1	1
E15	2	3	E35	2	4	E55	4	2	E75	4	4
E16	1	1	E36	1	1	E56	2	3	E76	4	3
						E57	3	4	E77	2	2
						E58	1	2	E78	2	2
									E79	2	1
	Correlation			**Correlation**			**Correlation**			**Correlation**	
	0.682			**0.545**			**0.553**			**0.708**	
ID: Employee identification; E: PG based on OASIS Number; G: PG based on "OCN";											

Details of employees'PGbased on "OASIS" Ranking and "OCN" under "OASIS" Model is given in Table 7.6from which it is observed that for the fourdepartments under study, correlation factor between employees' PG based on OASIS Number and based on "OCN" ranged from 0.545 to 0.708. This indicates that good degree of dependence

between overall assessment and subjective impression assessment (combination of Ability to perform, potential to grow, and Ability to change) as also adequate value addition by other elements of "OASIS" like OA, I & S Factors.

7. Value Addition by "I" Factor in Overall Assessment under "OASIS" Model:

Table 7.7: Correlation between employees' PG based on OASIS Number v/s I Factor–"OASIS" Model

Department 1			Department 2			Department 3			Department 4		
ID	**E**	**H**	**ID**	**E**	**H**	**ID**	**E**	**H**	**ID**	**E**	**H**
E1	5	5	E21	2	3	E41	5	4	E61	3	2
E2	4	3	E22	4	2	E42	4	5	E62	3	3
E3	3	4	E23	3	3	E43	4	3	E63	5	5
E4	4	3	E24	4	3	E44	4	4	E64	3	3
E5	5	5	E25	4	4	E45	3	3	E65	3	3
E6	3	3	E26	3	2	E46	3	4	E66	2	3
E7	4	3	E27	1	1	E47	5	5	E67	5	4
E8	3	3	E28	3	4	E48	3	2	E68	3	3
E9	3	3	E29	5	5	E49	2	2	E69	4	5
E10	3	4	E30	3	3	E50	3	3	E70	4	3
E11	2	2	E31	3	2	E51	3	2	E71	3	4
E12	1	1	E32	3	4	E52	2	3	E72	3	2
E13	3	4	E33	2	4	E53	2	2	E73	1	3
E14	2	2	E34	5	5	E54	3	3	E74	1	1
E15	2	2	E35	2	4	E55	4	3	E75	4	3
E16	1	1	E36	1	1	E56	2	3	E76	4	4
						E57	3	4	E77	2	2
						E58	1	1	E78	2	4
									E79	2	1
	Correlation			**Correlation**			**Correlation**			**Correlation**	
	0.864			**0.612**			**0.747**			**0.639**	

ID: Employee identification; E: PG based on OASIS Number; H: PG based on I Factor

Details of employees'PGbased on "OASIS" Ranking and "I" Factor under "OASIS" Model is given in Table 7.7from which it is observed that for the fourdepartments under study, correlation factor between employees' PG based on OASIS Number and based on "I Factor" ranged from 0.612 to 0.864. This indicates that good degree of dependence

between overall assessment and Integrity Factor assessment as also adequate value addition by other elements of "OASIS" like OA, OCN & S Factors.

8. Value Addition by "S" Factor in Overall Assessment under "OASIS" Model:

Table 7.8: Correlation between Employees' PG based on OASIS Number & S Factor–"OASIS" Model

Department 1			Department 2			Department 3			Department 4		
ID	**E**	**I**	**ID**	**E**	**I**	**ID**	**E**	**I**	**ID**	**E**	**I**
E1	5	5	E21	2	4	E41	5	4	E61	3	3
E2	4	3	E22	4	3	E42	4	5	E62	3	2
E3	3	4	E23	3	1	E43	4	2	E63	5	4
E4	4	3	E24	4	1	E44	4	2	E64	3	2
E5	5	5	E25	4	3	E45	3	3	E65	3	2
E6	3	3	E26	3	3	E46	3	4	E66	2	3
E7	4	4	E27	1	4	E47	5	3	E67	5	5
E8	3	3	E28	3	2	E48	3	4	E68	3	3
E9	3	2	E29	5	5	E49	2	4	E69	4	3
E10	3	4	E30	3	3	E50	3	2	E70	4	4
E11	2	3	E31	3	3	E51	3	2	E71	3	4
E12	1	3	E32	3	2	E52	2	5	E72	3	2
E13	3	2	E33	2	5	E53	2	1	E73	1	3
E14	2	1	E34	5	3	E54	3	3	E74	1	1
E15	2	1	E35	2	4	E55	4	3	E75	4	5
E16	1	3	E36	1	3	E56	2	3	E76	4	3
						E57	3	3	E77	2	3
						E58	1	3	E78	2	1
									E79	2	4
	Correlation			**Correlation**			**Correlation**			**Correlation**	
	0.606			**-0.186**			**0.039**			**0.583**	
ID: Employee identification; E: PG based on OASIS Number; I: PG based on S Factor											

Details of employees'PGbased on "OASIS" Ranking and "S" Factor under "OASIS" Model is given in Table 7.8from which it is observed that for the fourdepartments under study, correlation factor between PGs based on OASIS Number and based on "S Factor" ranged from -0.186 to 0.606. This indicates that good degree of dependence between

overall assessment and Sharing Factor assessment (360 degree) as also adequate value addition by other elements of “OASIS” like OA and SI. Wide variance in correlation amongst departments could be due to 1) team dynamics; 2) assessors ability and approach to appraisal; 3) “Boss Management” abilities of the team members; or 4) substantial difference in individuals’ approach while dealing with boss and team members.

Based on above analysis (Table 7.1 to 7.8) it can be concluded that

1) 23% - 61% variance of SD between actual and desired level indicates high degree of inadequate / inappropriate performance differentiation under legacy system
2) Correlation factors of 0.208 – 0.539 between PGs based on KRA rating and Normalized rating indicates that high degree of subjective judgment is applied by assessors / reviewers while normalization (final rating)
3) Correlation factors of 0.108 – 0.823 between KRA rating and OASIS Number indicates that high degree of value addition is done by overall performance assessment through “OASIS” as compared to KRA rating under legacy system.
4) Correlation factors of 0.356 – 0.417 betweenemployees’ PG based on Normalized rating and OASIS Model indicates that “OASIS” adds a great degree of value addition in arriving at overall performance groups as compared to forced normalization under legacy system.
5) Correlation factors of 1) 0.563 – 0.845; 2) 0.545 – 0.708; 3) 0.612 – 0.864; and -0.186 – 0.606 between employees’ PG based on OASIS Number and 1) “TAR”; 2) “OCN”; 3) “I” Factor; and 4) “S” Factor respectively indicates fairly good degree of dependence on each element viz. TAR, OCN, I Factor and S Factor under comprehensive assessment. This clearly supports value addition by each element in overall performance assessment of the knowledge worker. Value addition is also substantiated by views of departmental heads of test groups on the results through “OASIS”.

VII.2 Departmental Heads' views on "OASIS" Case Study Results

1. **Views on forced normalised rating v/s actual KRA rating under legacy system:**
   a) Forced normalization under normal process is based on results achieved, behaviours displayed and overall perception of the reviewer about the person. By and large normalization happens at functional head level, hence there is a higher possibility of influence of good / not good incidents of recent past. At time it is also a balancing act. It is also used for adjusting salary hike in case of high / low salary cases. However, it surprising to see a low correlation between KRA ratings and forced normalized rating. It has triggered a point to ponder on degree of subjectivity by reviewer that could be shadowing actual performance and potential of the individual.
   b) Forced normalization is a function of various issues such as assessors perception, relative position of an employee amongst the peers, specific need of the organization/function etc. This involves subjective analysis of an employee based on undefined parameters. This most of the times is driven by need and /or quota and hence has certain unwritten limitations. Normalization is generally done keeping a threshold as a base line for a group in an organization or a function. Forced normalization is also used for adjusting salary hike in case of salary disparity. However, low correlation of actual KRA based performance and normalized rating is cause of concern as it tantamount to ignoring actual performance.
   c) Forced normalized rating brings in the element of subjective evaluation of the member based on most recent performance rather than objective evaluation. Actual KRA rating measures the performance based on measureable parameters only. Fitting the performance on a bell curve using forced normalization raises member concern and may lead to unwanted discomfort in the team and at times even with the division/department/functional head. It also leads to high resistance to sharing performance results as defending the forced normalization apparently becomes difficult. Low correlation factor between forced normalized rating and KRA rating is mere manifestation of

above and proof that greater degree of subjective judgment is applied rather than objective assessment. While this fact is known, the extent of it is disturbing.

d) As a process forced normalized ratings should not be there since it affects the achieved ratings without an in-depth analysis. Such forced ratings may not reflect the actual performance of the members. We are not in a position to explain the concerned members the process involved in normalization since its not a clear cut method used to evolve the forced normalized ratings. On analyzed the forced normalized ratings with the actual KRA ratings we observed that there was a low correlation between them. This shows that the actual performance is not being reflected.

2. Views on percentile performance group obtained from OASIS model v/s. forced normalised performance group based on legacy system.

a) It is shocking and feeling of disbelief to see major variance at first instance. On detailed scrutiny it is observed that "OASIS" system has brought in differentiations that perhaps were missing under forced normalization. Forced Normalization had taken into account a lot of balancing act as a result 15 out of 18 were in rating 3. However, under percentile performance groups thrown up by "OASIS" system have taken away the flexibility of balancing. System has ranked people based on various elements of performance assessed by various stakeholders and hence has left no room for debates / perceptions of any one individual / stakeholder leave aside reviewer. Three specific cases of percentile performance group rating were almost unacceptable; hence detailed discussion was done with Ajay Oberoi (investigator). One case was most severe where he had KRA rating of 2.1, forced normalization to 3 and under "OASIS" system he was at performance group rating of 1. When these cases were studied at length with Potential and Trait measurement tool and sharing feedback through 360 degree, no room for confusion was left. In fact a sudden admiration of the Potential & Trait Measurement tool set in that at the time of filling was appearing to be time consuming. An additional point that emerges

is that generally I shied away from explaining Forced Normalization to individuals who challenged but the whole “OASIS” details now equip to justify and explain easily and objectively to anyone who wishes to know “why of what” has happened.

b) It is observed that OASIS Model ranking is more accurate as it is based on scientific method. Legacy system assessment was based on subjective analysis based on individual's perception and hence ranking based on this assessment may be inaccurate. Also percentile performance also may vary as there could be variance in individualistic assessments. Forced Normalization had taken into account a lot of balancing act. OASIS System has ranked people based on various elements of performance assessed by various stakeholders and hence has left no room for debates / perceptions of any one individual / stakeholder. On scrutiny of results given by OASIS, initial resistance / shock on three cases was resolved when detailed analysis was studied. In fact as these views are being given, one of three has resigned due to discomfort on rating given to him.

c) In legacy system the ranking is arrived by doing forced normalization. In OASIS model the final ranking is achieved directly. There is a wide spread in the overall score obtained which allows easy and natural grouping clearly differentiating the performers from the non-performers. A one-to-one relationship is established between the overall score and the ranking. Human intervention to arrive at normalized rating is completely eliminated giving a fair outcome. On scrutiny of results given by OASIS, I had some discomfort on five cases. However, detailed analysis of reports from P&T and 360 degree helped to a great extent in appreciating the OASIS results.

d) As we reviewed the final ranking we observed critical variances in the ‘Ratings’ of OASIS with that of the Legacy System. Further it revealed that OASIS does a thorough and logical evaluation of the member based upon “Ability to Perform’, ‘Potential to Grow’, ‘Ability to Change’, ‘Integrity Factor’, ‘Sharing Factor, which falls short in the Legacy system.In the sample group consisting of 16 members it was observed in some cases there was a

difference of one in the comparative ratings which was acceptable. However in three cases there was a difference of two in the comparative ratings. This was not acceptable to me. Hence we probed further. In the case of 'Member One' OASIS rated at 3 as against the Legacy system which rated at 5. This particular member had done exceptionally well in the 'Work related areas' based on which during normalization only this fact was considered and a rating of 5 assigned. However in the OASIS system the overall performance is evaluated, of which, 'work related areas' is one of the categories. The other categories evaluated by OASIS are "Ability to Perform', 'Potential to Grow', and 'Ability to Change', 'Integrity Factor', 'Sharing Factor' Hence this member was rated a 3 through the OASIS system after considering the scores in all the categories. Hence the 'rating 3' is the correct rating for the concerned member. Then it was concluded that such cases should be given a special award to appreciate the efforts of the member and not to change the Ratings. The other two cases were analyzed in the similar manner and it was agreed that OASIS ratings are appropriate and apt for the members concerned. The OASIS system of Performance evaluation is very objective and there leaves no room for ambiguities. Such a system gives a comfort level to justify the ratings to the members and we need not shy away while members demand an explanation. The process involved in the OASIS far supersedes the Legacy system

3. **Views on Training needs for employees covered - As projected by P&T tool used under OASIS v/s. assessor / reviewer's perception / assessment of individual employees.**

   a) The training needs in the legacy system are generally identified based on 1) few titles of training given by HR; 2) Supervisor's on the job perception / observations; 3) Employee's request / desire for a specific training / development program. This process has its own advantage of simplicity and matching expectations and obvious pitfall of being highly subjective. Areas of Strength, Developmental needs, Areas to Guard as thrown up by Potential and

Trait measurement tool are highly relevant and beyond doubt. Also the format in which these are arrived at would be of great help in discussing and counselling the concerned employee. This will help organization put in its training budget where it needs most. Training needs identified buy this model in case of E58 is quite appropriate and also indicates reasons why he is categorized in least performance group.

b) The training needs under legacy system are generally identified based on traits deficiency and business needs and /or employee requests. This process has some inherent benefits of matching expectations and at the same time has some drawbacks of being highly subjective in nature. OASIS system; however throws scientific methods to identify training needs based on objective assessments of traits matched with business needs. This also helps in discussing and counselling the concerned employee.

c) Currently training needs are identified by the member based on his/her role and responsibilities. The trainings that are identified could be generic in nature and may not address the weakness of the member directly. The training needs are limited to functional and non-functional generic topics/subjects. In OASIS training needs can be identified at a granular level. Correct training programs can therefore be identified. Learning and implementation can be monitored till the next assessment.

d) In the current process the 'Training Needs' are based upon what member thinks they need, this is further okayed by the reviewer. In the current process there is no logical background defined based on which the Training needs are evolved. Such a process may not deliver what is the actual requirement. Training needs projected by P&T tool under OASIS is evolved based on the analysis of assessor and reviewer's responses to various questions. Areas of Strength, Developmental needs, Areas of improvement that are analyzed and thrown up by the Potential and Trait measurement tool, are highly relevant and appropriate to the members concerned. Here the system categorizes the answers and then assesses the training needs based on standards defined. Such

system is well devised to provide training to cover the overall growth of the individual.

4. **Views on Ability to perform for employees covered - As projected by P&T tool used under OASIS v/s. your perception/ assessment of individual employees.**

   a) The ability to perform under "OASIS" is arrived at based on various relevant attributes that are responsible for performance. When "Ability to Perform" number is studied on relative basis amongst the employees in the test group, the results appear quite coherent. It helps in understanding the causes when someone has under / over performed. This is also helping in identifying people who could be given higher targets / wider responsibilities. It is heartening to see good degree of relationship in actual results delivered and "Ability to Perform" number.

   b) In legacy system, this ability is arrived at by assessing the employee and opinion is formed based on reviewer's perception, trust, interpretation etc. Under OASIS, this is arrived at based on various relevant attributes that are responsible for performance and measured on mathematical formulae. It helps in understanding the reasons for under/non/over performance. Ability to perform for the test group as indicated by P&T tool is quite in line with on the ground observations.

   c) Ability to Perform evaluates the performance of the member on 6 areas that are critical / necessary to perform daily operations. These areas are now categorized according to the level of importance and further rated on performance of the member. Clearly it identifies the strengths and weaknesses of the member. Feedback on abilities can therefore be shared and transparency is permissible. Test group results are more or less in reality.

   d) 'Ability to perform', is tuned to assess the individual's performance as per the assignments handled. This tool does a proper analysis of the individual's strengths and weaknesses towards performance. In the sample group assessed with this tool, it was observed that the results matched the member's

performance to a great extent. This tool also assists in identifying the reasons for non-performance and high-performance.

5. **Views on Potential to grow for employees covered - As projected by P&T tool used under OASIS v/s. your perception/ assessment of individual employees.**
   a) Current practice of analysing about one's potential to grow is based on either the results delivered or behaviours exhibited. However, mostly at the end it has been a hunch of the functional head about one's potential or at best based on one / two anecdotal events. The way detailed analysis has happened through various attributes and guided evaluation of one's potential reminds of past experience with one of the assessment centre for evaluation. The results projected by "OASIS" on potential to grow appear to be quite accurate though at perception level there is discomfort with one odd case. This is helping in good decision on promotability of employee.
   b) In current practice, this trait is analysed based on subjective abilities of the employee. This could be managerial traits, behavioural attributes or aptitude. However, in most of the cases, it is based on individual's approach and analysis. OASIS throws more accurate and acceptable results.
   c) Members having growth potential can be identified easily by analysing the results of the OASIS model. Results can be correlated with other parameters like Ability to Perform, to identify and groom members in the correct career path. In the legacy system this was purely based on observations and the appraiser's perception about the member. Stray incidents could lead to wrong conclusions leading to improper evaluations during appraisals in the legacy system. Test group results are good indication of reality.
   d) In the legacy system we debate on the KRA results and experience with the members concerned to identify the member's potential to grow. Such subjective debates may not fine tune itself to be conclusive. We recall some important events of a particular member and based on these events we decide the growth potential. The results obtained through the 'OASIS' system, are based on a thorough analysis of attributes related to 'Potential to grow" of a

particular member. The results of the 'Sample Group' reveals the actual 'Growth Potential' of a member, and such results can be a basis of deciding promotions.

6. Views on Ability to change for employees covered - As projected by P&T tool used under OASIS v/s. your perception/ assessment of individual employees.

a) It is observed that for employees having higher "Potential to Grow", "Ability to Change" is also high from the data received on individuals of test group. This is understandable. Results obtained from "OASIS" model are quite in line with behaviours exhibited by individuals on change related assignments wether it is a process change or technology change or change management issue. Ability of the tool to predict employee for acting as a change agent is quite convincing.

b) Inferences arrived from OASIS model are looking more realistic and in line with behaviours shown by employee. This tool is throwing practical results.

c) The evaluation of a member on the 4 parameters related to Ability to Change clearly indicates the potential of a member to take up leadership roles in an organization. In the legacy system perception would influence the assessment on this ability. Availability of detailed results helps in planning the career path of a member. The evaluation on this area would allow taking corrective measures for members performing at the managerial levels. Test group results are quite in line with level of success shown by individuals' on change related assignment.

d) The results obtained form the 'Sample Group' show that those who have a high rank in this category also have a high rank in the "Potential to Grow" and a relatively high rank in the "Ability to Perform' category. OASIS throws up logical and relevant results based upon the members' abilities as assessed in the various categories. The members who have scored a high rank in "Ability to change' are most adaptable when subjected to changes in the work arenas. I may suggest that, "Ability to change" needs to be assessed on those members who have spent more than 2 years in a particular role. Executives up to AOE

5 grade and having less than 2 years in a particular role needs to be exempt from this assessment. For senior members “Ability to Change” assesses and throws light on the dynamism of an individual.

7. **Views on Overall competence rank for employees covered - As projected by P&T tool used under OASIS v/s. your perception/ assessment of individual employees.**
   a) On the whole since each category, “Ability to Perform”; “Potential to Grow” and “Ability to Change” has been independently commented above and found relevant this question is mere repetition of above three questions. Overall it is mathematical combination of three and it does help in understanding overall competence of a person. This number will find its substantial use in deciding upon promotions.
   b) At the outset, results are relevant. Overall it is mathematical combination of three and it does help in understanding overall competence of a person. This number will find its substantial use in deciding upon promotions.
   c) The Overall Competency Rank in OASIS signifies a lot to the management. It would allow the management to also rank the members across functions and may be allow them to find suitable candidates for role changes. Few role changes would balance the team and the function resulting in better performance at the organizational level.
   d) The result obtained through the “Overall Competency Rank” under OASIS is the weighted average of the various categories where each member of the ‘sample group’ was assessed.These results reflect the overall proficiency of the member and this can be used as a definite input to reward the deserving member in terms of promotions and percentage salary hike

8. **Views on Integrity factor for employees covered - As projected by P&T tool used under OASIS v/s your perception/ assessment of individual employees**
   a) The seven aspects of integrity factor are different from general perception of employee integrity. Clearly, integrity concept under “OASIS” has take a

revolutionary view that Integrity can be represented in fraction rather than 0 & 1 i.e. Honest or Dishonest. It is different than what is thought or considered. However, for knowledge workers it is important to capture details beyond financial integrity and understand trends that could forewarn about one's desire to make personal benefits from the situation at the cost of company. This is well done by seven integrity elements considered by "OASIS". It is believed that these integrity factors are over and above clear financial honesty and not in lieu of it. It would be heartening to see that as one element even if beyond seven already considered. Results of Integrity factor well match with behaviours exhibited by individuals on the job and hence would help in identifying a right person in case of critical, sensitive job that calls for high level of integrity.

b) The parameters are discrete on which the integrity is assessed. These are more accurate as generic interpretation of integrity may differ from intended one and this tool is more than accurate in evaluating integrity in systematic method. There is no scope for one's consideration, but integrity is "calculated". Results of Integrity factor well match with behaviours exhibited by individuals on the job and hence would help in identifying a right person in case of critical, sensitive job that calls for high level of integrity.

c) Various measures/dimensions of integrity are evaluated in OASIS model evaluating a member's integrity at a more comprehensive level. Integrity does play a major role with knowledge workers. This model allows the organization to know the integral behaviour of the member not only from the financial perspective but from other perspectives too.

d) This is a critical category for assessing employees. The "Integrity Factor" as projected by P&T Tool vividly brings out an individual's attitude towards work and his/her concern towards department and Organization's objectives. Its interesting to note the results of the sample group show that those who have a high rank in "Ability to Perform"; "Potential to Grow" and "Ability to Change" have also score a high rank in the 'Integrity Factor' Such members need to be appreciated.

9. **Views on Sharing factor for employees covered - As projected by P&T tool used under OASIS v/s your perception/ assessment of individual employees.**

a) Here it seems “OASIS” has taken a simplistic view of taking average of all respondents. It is not certain if this would be appropriate. However, this is representation of how others perceive the individual. This gives a good insight to team dynamics and understanding of one’s behaviours with peers / juniors apart from the seniors, where a knowledge worker is well aware to put the best foot forward.

b) This is a mere average of scores, however looks to be more scientific. This gives a good insight to team dynamics and understanding of one’s behaviours with peers / juniors apart from the seniors, where a knowledge worker is well aware to put the best foot forward. The negative correlation between overall performance group based on OASIS number and that by sharing number is cause of concern. This also gives an indication of inappropriate team dynamics. In fact it could be giving some clue to higher attrition faced in recent past.

c) Modern organizations thrive on values based on transparency and sharing. Some organizations are maintaining thin boundaries between member levels to promote transparency and sharing. This model takes the views on various aspects from the peers, subordinates, non-reporting seniors to give a complete summary of an individual’s approach in the organization. It would clearly benefit the member and the organization to know the views of other stakeholders. It can be extended to customers and vendors too for members in direct relationships with customers/vendors.

d) This “Sharing Factor” is a fair process giving the member and the manager to assess and rate. Such feedback gives an insight of the member as perceived by others.

10. Overall comments on OASIS model:

a) While answering various performance elements of “OASIS”, it was felt that it is taking too much of time and might be quite complex in projecting final results. Contrary to these views then, now it is pleasant surprise to get output that is so easy to understand. Also numeric approach to all subjective / softer aspects of appraisal has made it more convenient to discuss and explain. It is certain that comprehensive analysis through “OASIS” will make assessors and reviewers comfortable during counselling sessions and sharing of results with employees.

b) Views on OASIS are:

- This tool is based on mathematical formulae
- The logic is translated into binary functions in addition it is also given qualitative touch.
- This tool is capable of interpreting any person based on scores
- This can be used as a psychometric tool in analysing a person for his recruitment, performance evaluation, job fitment etc.

c) Views on OASIS are:

- A comprehensive model to evaluate the performance of members.
- Clear stages of evaluation
- Detailed analysis available for deciding a plan of action
- Provides enough data to share with member post appraisal
- Constructive feedback can be provided to the member
- Member progress can be reviewed on a quarterly basis on selected parameters
- Appraisal cycles can be reduced to only once a year and the qualified report can be used during reviews.
- Partial evaluation of members possible on quarterly/half-yearly basis.
- Organizations can take initiatives looking at the trends obtained from the model

d) Comments on the OASIS Model are as follows:The final results obtained through the OASIS Model are based upon elaborate analysis of each member

wherein every aspect in each category is objectively assessed. Such results are definite and assist the management to take immediate decision with apt justification. Such a system improves managerial effectiveness by providing a manager a more complete assessment system. It definitely eliminates forced normalization which is not member friendly.

11. Views on additional time spent for detailed assessment as per OASIS model v/s. Legacy system.

a) Contrary to initial views that "OASIS" is quite elaborate and is consuming lot of executive time for assessment, on overall analysis it is found that "OASIS" saves time. It will save all the time, hassle and mental agony reviewer has to go through while forced normalization. It also will save major time that is spent in explaining unexplainable of forced normalization to aggrieved employees. It is also likely to save company a lot of non productive time spent by employees on grapevine / grievance expression post performance appraisal cycle.

b) OASIS is extremely elaborate and comprehensive tool for effective and accurate results hence even if this is slightly time consuming, it is worth for the accuracy of the results.

c) The additional time spent for detailed assessment is worth the results obtained from the model. Though the legacy system would take less time, it does not give a comprehensive view of the result. In the legacy system the process of assessment is layered and at times does require time to arrive at the normalized scores. The results obtained from this model would allow a focused approach for each member. Once the model is understood and properly implemented the time spent would translate into meaningful benefits to the organization.

d) At the onset, it seemed that this process takes a long time to complete as compared to the Legacy system. However the results obtained through OASIS is definite, clear and justified. Such crystallized results assist the Manager to immediately validate the results should the member demand. OASIS will

save time on ‘force normalization’ and discussions to ‘justify forced normalization’ should the member demand

VII.3 Discussions on Case Study Results and Departmental Heads Views

On the whole departmental heads’ views on outcome of “OASIS” indicate that “OASIS” model has been able to give very comprehensive and objective views of performance. Each element of “OASIS” output i.e. percentile performance group; Training Need Analysis; Ability to perform, potential to grow, Ability to Change factors, Overall Competence Number, Integrity Factor and Sharing factor have been found quite appropriate and useful in employee overall appraisal. Additional time spent during appraisal period under “OASIS” will be more than compensated by savings in time for forced normalization process and its consequences. Assessors and reviewers will find themselves quite comfortable while discussing / counseling employees and handling grievances with the help of “OASIS” output reports.

Suggestions received from departmental heads are summarized below

- “Ability to change” could be exempted for employees in the lower most work level and / or having less than two years in a particular role.
- One parameter on clear financial honesty should be covered under Integrity template even if it increases parameters / levels to eight.

Chapter VIII SUMMARY OF FINDINGS

VIII.1 PMS – Current Practices and Issues with focus on Knowledge Workers:

From the study following is observed

- Every organization surveyed practices performance management system across various management levels and most of the organization have similar system for all levels.
- Primarily Results, Potential & Traits are assessed. Results are assessed either as achievement against preset targets or achievement at the end of the year. Potential & Traits are measured by assessing ability to perform and potential to grow.
- Peer, subordinate views, or 360 degree assessment are not much practiced.
- Giving overall performance rating through Forced Normalization is quite in vogue.
- Generally verbal (positive and negative statements) feedback is given and training and developmental needs are arrived at by discussions between appraiser and apraisee without any formal assessment tool.
- Knowledge Workers are only somewhat satisfied with prevailing performance management practices and are of the view that it is not much effective in improving organizational performance
- Sizeable percentage of Knowledge Workers are of the views that performance management system is a 1) bureaucratic chore; 2) deadly disease; 3) distraction from other important activities.
- Inability to give constructive feedback and forced normalization are the key causes sighted for failure of performance management system by knowledge workers.
- Knowledge workers find themselves uncomfortable in dealing with unrealistic expectations and forced normalization process.
- Knowledge workers believe that entire performance appraisal process can be done objectively and its success lies in aligning individual goals to organizational goals.

VIII.2 Experts Views on Knowledge Worker and current PM Practices:

- Permeable home / work / travel boundaries and need to acquire and synthesize knowledge make it difficult to measure job done by knowledge workers.
- Current performance management systems fall short in addressing unique characteristics of job, desired communication level, dynamic nature of job, interdependence of the job and team work for knowledge workers.
- Knowledge workers resent forced normalization and being measured on only number oriented system
- It is important to measure both lead and lag indicators of performance for knowledge workers.
- Knowledge workers demand rational and logics on any differentiation that affects their reward / esteem.
- There is a strong need to develop comprehensive model for performance management of knowledge workers.

VIII.3 Experts'and Knowledge Workers' Views on Attributes for Ability to Perform; Potential to Grow; and Ability to Change:

Knowledge Workers and Experts are almost unanimous that

- Knowledge, Planning ability, Communication skills, Analytical skills, Customer orientation and Result orientation are critical attributes for "Ability to Perform".
- Decision making skills, Self development, Initiative & Motivation, Leadership qualities and Winning instinct are critical attributes for "Potential to Grow".
- Creativity, Team spirit, Interpersonal skills and People development are critical attributes for their "Ability to Change".

VIII.4 Experts Views on "OASIS" Model for Performance Management and Development:

Experts views on "OASIS" Model for Performance Management and Development substantiates that:

- Comprehensive KRA framework for each job as explained in "OASIS" Model will help in improving performance management
- Concept of "TAR" as explained in "OASIS" Model will help in effective assessment of all aspects of the job and overall achievement
- Potential & Trait measurement technique adopted by "OASIS" model will help reducing subjectiveness in assessment
- Concept of "OCN" as explained in "OASIS" Model will help in effective assessment of overall potential & Traits of a knowledge worker
- Concept of "S Factor" as explained in "OASIS" Model is appropriate in arriving at numeric output of 360 degree assessment tool
- Concept of "OASIS Number" as explained in "OASIS" Model is appropriate in arriving at overall performance and ranking of knowledge workers

VIII.5 Case Study Results of "OASIS" Model for Performance Management and Development:

Case Study Results on "OASIS" Model for Performance Management and Development System substantiates that "OASIS" Model:

- Helps in effective differentiation without resorting to forced normalization that is resented by knowledge workers.
- Helps in objectively assessing subjective impressions / softer elements of the performance assessment and reduces subjective judgment to a very great extent
- Provides high degree of value addition in assessing overall performance.
- Provides good degree of judicious mix of objective assessment, subjective impression and sharing while arriving at overall performance

VIII.6 Views of Departmental Heads of Test Groups on "OASIS" Model for Performance Management and Development:

Views of departmental heads of Test Groups on "OASIS" Model for Performance Management and Development substantiate that:

- It gives very comprehensive and objective views of performance
- Each element of "OASIS" output i.e. percentile performance group; Training Need Analysis; Ability to perform, potential to grow, Ability to Change factors, Overall Competence Number, Integrity Factor and Sharing factor have been found quite appropriate and useful in employee overall appraisal
- Additional time spent during appraisal period under "OASIS" will be more than compensated by savings in time for forced normalization process and its consequences
- Assessors and reviewers will find themselves quite comfortable while discussing / counseling employees and handling grievances with the help of "OASIS" output reports.

CONCLUSIONS

Above findings substantiate earlier observations that almost every organization boasts to have working PMS. However, at the end of performance appraisal cycle, every organization faces employee discontent of varying degree. Employees at the end keep raising the question on the outcome of the system with varying degree of cynicism. It also substantiates that knowledge workers resist forced normalization and demand rational explanation for every decision and managers find themselves wanting in dexterity to handle the situations and are uncomfortable. Clearly need of the hour is to develop a comprehensive performance management system that aligns individual goals with organizational goals, measures lead and lag indicators, combines what and how part of knowledge workers' job, avoids forced normalization, provides sound rationales and logics for arriving at performance level of the knowledge worker and assists in giving constructive feedback.

Proposed "OASIS Model"is a strategic comprehensive model that combines objectively different performance appraisal methods viz. objective assessment, subjective impression, and sharing and give unique number that could be used for ranking employees rather than force fitting them into bell curve. It effectively 1) measure performance and indicate improvement areas; 2) comment on potential and traits of the employee and help identify relative improvement areas; 3) give overall ranking of the employee based on performance, potential & traits, and sharing from multi rater assessment process to act as compensation and promotion mechanism.

"OASIS" is a system that attempts to increase objectivity of the process, assist in differentiation, provide modular structure. It attempts to objectively assess and comment upon both tangible (end deliverables) and intangible (ideas, judgments, values etc.) out come. It also attempts to find bad part in overall good performance and good part in overall bad performance. "OASIS" addresses expectations desired by Drucker, Lawson, Dick Grote, Edward Deming, Dulewicz.

Thus, "OASIS" is a new way to lead and manage knowledge workers.

SPECIFIC CONTRIBUTIONS

"OASIS" is an original model created to address current needs of managing performance of knowledge workers.

LIMITATIONS OF THE STUDY

Study has attempted to have a wide spectrum of sampling to ensure a representative sample which could result in reliable and workable results. However, inspite of all precautions having been taken some of the limitations of the study are as under.

- Limitations arising from a limited secondary source of data on the subject, indifferent sampling population and time constraints
- Current practices and employee perception survey responses primarily (76%) are from companies in Mumbai and hence could reflect a regional bias.
- Selected sample size of target audience and experts' for opinions could be a limiting factor.
- Test run of "OASIS" model is done on test groups of target audience drawn from one company viz.Aptech ltd. This could reflect a limited approach to the subject.
- While redrawing BSC for members of test groups, selection of parameters was constrained based on availability of information on performance parameters.
- Attributes for potential and traits measurement tool are considered based on experience and study of appraisal parameters used by three companies. These have been positively commented upon for their relevance by target audience and experts. However, validity test (like in a laboratory research) of selected attributes for potential & trait could not done. Hence, study is limited to the extent of verifying their relevance through collating views of target audience and experts in academia, consultancy and industry.

FUTURE SCOPE OF WORK

Suggested model “OASIS” is tested only in one organization and for one assessment cycle. The further testing over a period of time and in different organizations could be taken up as a subject for future research. This would enable understanding / commenting upon general applicability of the model.

The current performance management practices and concerns of knowledge workers’ could be studied at different geographies and segments of knowledge industry to get additional insights. This too could be treated as a subject for future research.

A detailed research could be undertaken to validate the suggested Potential & Trait Measurement Tool.

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Appendix 1

e-Mail copy requesting companies for expert / employee responses

To
AAA

Sub.: Help and Support in creating a new concept in Performance Management

At the outset I thank you for agreeing to help.

As mentioned, I am doing a research work (PhD) through BITS Pilani. The research is on developing comprehensive model for performance management with focus on knowledge workers.

The origin of this study lies in my experience with performance management systems for more than three decades as assessee, assessor, and observer. Every organization has it and every organization boasts about its relevance to organizational improvement. Every organization faces employee discontent after PMS cycle is over although to different degree. It is like that OASIS which people keep searching and find it difficult. After every PMS cycle, employees raise critical questions on end result of the process. These issues are becoming more pronounced in case of knowledge workers. (More about the genesis of the study is given in the attachment titled "About the Study"; also a ppt to explain "OASIS" model is attached).

One of the critical observations during my three decades of experience and validated by many during one on one discussions is that knowledge workers object to forced normalization to fit the bell curve. They demand rationale for every decision that affects their reward and esteem.

Also it is observed that while organizations have various assessment methods like performance against targets (objective assessment); Commenting on Behaviours, traits and potential of the individual (Subjective Impression), and 360 degree assessment, counselling / feedback / feed-forward sessions (Sharing), but these are treated as three different stand alone exercises.

The research hypothesis is to study relevance of overall ranking system through unique number arrived at by combining all three forms of assessments (mentioned above) through appropriate mathematical equations. For this, use of Balanced Scorecard with specially designed Potential & Trait Assessment tool and 360 degree tool is suggested.

Above method has been tested on 70 knowledge workers from four functions of an organization operating in knowledge economy and results are quite encouraging.

In order to complete the research thesis I need help for following

1) Employee views on certain assumptions regarding needs and feelings of knowledge workers; relevance of attributes used for arriving at Potential and trait analysis. ("PMS Questionnaire_IT3.1" attached)

2) Views on the proposed model from senior professionals in the knowledge industry like your good-self. ("OASIS Questionnaire V3" attached)

Kindly get PMS questionnaire filled by at least 15 employees from different echelons (preferably 5 HR and 10 non HR). It would be a good idea to select employees on random basis.

Also, please give your views on OASIS questionnaire that would help collate expert's opinion. Further, if you could recommend me to few CEOs / HR heads of large companies in knowledge industry, I shall be highly obliged.

I will appreciate it if hard copy / scanned copy of the questionnaire answered by respondents are sent to me directly / through you in a week's time.

Looking forward to your help.

Regards

Ajay Oberoi
Exe V P Aptech Ltd.
A-65, MIDC, Marol
Andheri (East)
Mumbai - 400 093

Cell: +919820155314

Appendix 2

Practices & Issues in PMS amongst Knowledge Workers – IT / ITES Companies

I. Name:_____

II. Designation: _____ Dept:_____

III. Organization: _____

IV. Contact No.:_____ Email ID: _____

V. Experience
Less than 1 year ☐ 2-4years ☐ 5-7 years ☐ More than 7 years ☐

VI. Sex: ☐ Male ☐ Female

VII. Age group: ☐ 25 – 35 ☐ 36-45 ☐ 46+

VIII. Which of the following economic sectors best describes your organization?
a) IT / ITES ☐ b) Insurance / Health Care ☐
c) Education☐ d) others (pls. specify): _____

---

1. Does your organization operate a formal performance management system?
   a) Yes ☐ b) No ☐

2. If yes, which of the following groups of employees do these processes apply to?
   ☐ Senior Management ☐ Other Managers / Project Managers
   ☐ Team Leaders / Consultants ☐ Technical Staff / Support Staff
   ☐ Business Development / Commercial Staff

3. Is Performance management System same for all levels: Yes ☐ No ☐

4. If no, pl give details as to how it differs across levels: _____

5. What is assessed under Performance Management System in your organization?
   a. Results
      i. Performance Against Preset Targets ☐
      ii. Achievement at the end of the year ☐
      iii. Efforts put in during the assessment period ☐
   b. Potential & Traits
      i. Ability to Perform ☐
      ii. Potential to Grow ☐
      iii. Ability to Change ☐
   c. Peer Views ☐
   d. Subordinate Views ☐

6. Which of the following Performance Appraisal methods are used in your organization?
    a. Written Essay method ☐
    b. Rating behaviors observed ☐
    c. Rating on Results Achieved ☐
    d. Assessing results against preset Targets ☐
    e. Balanced Scorecard Approach to KRAs & Achievement ☐
    f. Any other pls. specify_____

7. Do you give an overall rating for performance?
    a) Yes ☐ b) No ☐

8. Does your company follow
    a. Forced distribution method to fit in bell curve for overall rating ☐
    b. Ranking based on overall performance ☐
    c. 360 Degree Assessment ☐

9. Who sets the performance goals/requirements for individuals?
a) Senior Managers ☐ b) Line managers/Team leaders ☐
c) HR professionals ☐ d) Employee ☐
e) Appraiser &Appraisee☐ f) Others (pls. specify): _____

10. Training & Development needs are identified
    a) By Supervisor ☐ b) By employee ☐ c) Jointly by employee & supervisor ☐
    d) Through assessment tool ☐ e) Any other method: _____

11. Training / Developmental programs attended during last 2 years:
    _____

12. The quality management guru Edward Deming had called performance management as a "deadly disease". Do you agree with him? a) Yes ☐ b) No ☐

13. In your organization does a performance appraisal get done because the system requires it? (i.e. is it a bureaucratic chore)? a) Yes ☐ b) No ☐

14. Does performance appraisal process distract people from more important activities?
    a) Yes ☐ b) No ☐

15. Are you satisfied with current performance appraisal system
    a) Not at All ☐ b) To some extent ☐ c) To a great extent ☐ d) Fully ☐

16. What in your opinion are the causes for failure of performance appraisal system?
    a) Setting of KRAs & Targets ☐ b) Appraisal Method Used ☐
    c) Inability to give constructive feedback ☐ d) Forced Normalization ☐
    e) Any other pls. specify_____

17. In which of the following situations you find yourself uncomfortable: (pls. tick as many options as appropriate)
    a) Appraising distant subordinate ☐
    b) Appraising technically superior subordinate ☐
    c) The older, highly experienced subordinates ☐
    d) Dealing with unrealistic expectations ☐
    e) Coping with employee defensiveness ☐
    f) Forced Normalization ☐
    g) Any other (Pl specify)_____

18. What according to you would constitute psychological barriers to effective performance appraisal?
    a) Feelings of insecurity ☐
    b) Being too skeptical or modest ☐
    c) Worrying that performance appraisal might cause resentment to subordinates ☐
    d) Any other (Pl specify) _____

19. Success of performance management systems depend on:
    a) Alignment of individual goals to organizational goals ☐
    b) Choosing the right method of appraisal ☐
    c) Any other (Pl Specify) _____

20. Do you recommend any changes / new processes for improving current performance appraisal process: _____

21. Do you believe that the entire process can be carried out objectively?
    a) Yes ☐ b) No ☐
22. If No, why: _____

23. Do you get performance feedback? Yes ☐ No ☐
24. If yes, what sort of feedback do you get?
    a) Numerical/alphabetical ☐ b) Verbal (all positive) ☐
    c) Verbal (positive and negative) ☐ d) Combination of the above ☐
    e) Others (pls. specify**):** _____

25. In general, how effective has your organization's performance management processes proved in improving overall performance?
    a) Not at All ☐ b) Somewhat ☐ c) To a great extent ☐ d) Don't Know ☐

26. Are you going to make any changes to your performance management systems in the next 12 months?
    a) Yes ☐ b) No ☐ c) Maybe ☐ d) Don't Know ☐

27. If yes, what aspect of performance management is likely to change?
    _____

28. Give your opinion on the following

	Strongly disagree	Somewhat disagree	Somewhat Agree	Strongly Agree
Self Appraisal is Beneficial				
Participative PMS is Beneficial				
Forced Normalization on Bell Curve is liked by employees				
Following are critical for “Ability to Perform”				
Knowledge				
Planning ability				
Communication Skills				
Analytical Skills				
Customer Orientation				
Result Orientation				
Following are critical for “Potential to Grow”				
Decision Making Skills				
Self Development				
Initiative & Motivation				
Leadership Qualities				
Winning Instinct				
Following are critical for “Ability to Change”				
Creativity				
Team Spirit				
Interpersonal Skills				
People Development				

Are there any other comments you would like to make about your performance management process that is not covered above?

_____
_____
_____
_____
_____
_____
_____

Date: Signature of the employee (Optional)

Appendix 3

"OASIS" Model Experts Opinion - Questionnaire

I. Name:_____

II. Designation: _____ Organization:_____

III. Contact No.:_____ Email ID: _____

IV. Profile:

_____

_____

_____

Give your opinion on the following

		Strongly disagree	Somewhat disagree	Somewhat Agree	Strongly Agree
1	It is difficult to measure the job done by Knowledge Workers				
2	Above is due to				
	• Lot of time is spent communicating				
	• Permeable Home / Work / Travel Boundaries				
	• Need to acquire & Synthesize Knowledge				
3	Current PM Systems fall short in effectively addressing following for Knowledge Workers				
	• Unique Characteristics of the job				
	• Desired Communication Level				
	• Dynamic Nature of the job				
	• Interdependence of the job				
	• Team work				
4	Knowledge workers resent being measured only on number oriented systems				
5	Knowledge Workers resent forced normalization process to fit the bell curve				
6	Knowledge Workers demand rational logic for any differentiation made between two role holders				
7	It is important to measure both lead and lag performance indicators for knowledge workers				
8	Comprehensive KRA framework for each job as explained in "OASIS Model" will help in improving PM				

9	Concept of “TAR” as explained in “OASIS” Model will help in effective assessment of all aspects of the job and overall achievement				
10	Following are critical for “Ability to Perform”				
	• Knowledge				
	• Planning ability				
	• Communication Skills				
	• Analytical Skills				
	• Customer Orientation				
	• Result Orientation				
11	Following are critical for “Potential to Grow”				
	• Decision Making Skills				
	• Self Development				
	• Initiative & Motivation				
	• Leadership Qualities				
	• Winning Instinct				
12	Following are critical for “Ability to Change”				
	• Creativity				
	• Team Spirit				
	• Interpersonal Skills				
	• People Development				
13	Potential & Trait measurement technique adopted by “OASIS” model will help reducing subjectiveness in assessment				
14	Concept of “OCN” as explained in “OASIS” Model will help in effective assessment of overall potential & Traits of a knowledge worker				
15	Template used for measuring Integrity factor under “OASIS” model is appropriate				
16	Concept of “S Factor” as explained in “OASIS” Model is appropriate in arriving at numeric output of 360 degree assessment tool				
17	Concept of “OASIS Number” as explained in “OASIS” Model is appropriate in arriving at overall performance and ranking of knowledge workers				
18	There is a strong need to develop comprehensive model of PM for Knowledge Workers				

19 Your views on idea of combining Objective assessment of KRAs, Assessment of Potential & Traits though objective tool, and results of 360 degree feedback to arrive at overall performance of a knowledge worker

_____
_____
_____
_____
_____
_____
_____

20 Your views on "OASIS" model for performance appraisal:

_____
_____
_____
_____
_____
_____
_____

21 Your views on practical application of "OASIS" Model

_____
_____
_____
_____
_____
_____
_____

22 Your views on approach of Ranking through OASIS Number rather than forced normalization

_____
_____
_____
_____
_____
_____
_____

Date: Signature (Optional)

Appendix 4

Departmental Heads Response to Results Obtained through "OASIS" model v/s Legacy System Practiced – Questionnaire

1) Views on forced normalized rating v/s. actual KRA rating under legacy system.

_____

_____

_____

2) Views on final ranking and percentile performance groups obtained from "OASIS" Model v/s legacy system

_____

_____

_____

3) Views on "Training Needs" for employees covered – As projected by P&T tool used under "OASIS" v/s their perception / assessment of individual employees

_____

_____

_____

4) Views on "Ability to Perform" for employees covered – As projected by P&T tool used under "OASIS" v/s their perception / assessment of individual employees

_____

_____

_____

5) Views on "Potential to Grow" for employees covered – As projected by P&T tool used under "OASIS" v/s their perception / assessment of individual employees

_____

_____

_____

_____

6) Views on “Ability to Change” for employees covered – As projected by P&T tool used under “OASIS” v/s their perception / assessment of individual employees

_____

_____

_____

7) Views on “Overall Competence Rank” for employees covered – As projected by P&T tool used under “OASIS” v/s their perception / assessment of individual employees

_____

_____

_____

8) Views on “Integrity Factor” for employees covered – As projected by P&T tool used under “OASIS” v/s their perception / assessment of individual employees

_____

_____

_____

9) Views on “Sharing Factor” for employees covered – As projected by 360 degree tool used under “OASIS” v/s their perception / assessment of individual employees

_____

_____

_____

10) Overall comments on “OASIS” model

_____

_____

_____

11) Views on additional time spent for detailed assessment as per “OASIS” Model v/s Legacy System

_____

_____

_____

Appendix 5
Sample KRAs based on 7 Steps

Position: Regional Sales Head

Sr. No	List of Activities (Step 1)	Performance Indicators (Step 2)	Measuring Index (Step 3)	Perspective Groups (Step 4)	Degree of Importance (Step 5)	Shortlist Key Parameters (Step 6)	Assign Weightage (Step 7)
1	Monitor team performance on daily basis and coach team members for success		Quality	1 Team	High	SL	
2	Ensure team development through training, coaching	Lead	Developing Successor	1 Team	High	SL	10%
3	Ensure Business targets for the region are met	Lag	% adherence	2 Finance	High	SL	20%
4	Ensure Outstanding recovery / collection	Lag	% adherence	2 Finance	High	SL	20%
5	Ensure Collection & Reconciliation of Recurring Franchisee Fee	Lag	% adherence	2 Finance	High	SL	
6	Ensure collection of Technical Know How fee from new Business Partner.	Lead	Timeliness	2 Finance	Medium	SL	
7	Develop the franchisee Network (Expansion)	Lead	Plan / Actual	3 Customer	High	SL	5%
8	Manage relationship with Business Partners	Lead	Feedback Score	3 Customer	High	SL	5%
9	Monitor & Manage critical centers (high performing / low performing)	Lead	% of Centers in high performance growth	3 Customer	High	SL	
10	Ensure center's ROI at desired level	Lead	% adherence	3 Customer	High	SL	15%
11	Impart product training and explain the method of counseling to the newly appointed counselor.	Lag	Plan / Actual	3 Customer	Medium	SL	
12	Analyze lost customer data every month & take appropriate action as required	Lag	Timeliness	3 Customer	Medium	SL	
13	Conduct regional review meetings such as the RMC, BM, BP.	Lag	Plan / Actual	3 Customer	Medium	SL	
14	Develop Productwise Annual Business Plans	Lead	Quality & Timeliness	4 Process	High	SL	15%
15	Formulate Monthly Business Plan by the 20th of previous month and forwarded to the Head Office	Lead	Quality & Timeliness	4 Process	High	SL	5%
16	Draw annual advertising and marketing plan based on Annual Business Plan,	Lead	Quality & Timeliness	4 Process	Medium	SL	
17	Finalize productwise Monthly marketing Plan and expenses based on discussions with Business Partners.	Lead	Quality & Timeliness	4 Process	High	SL	
18	Implement approved monthly marketing plan in respective areas.	Lead	Plan / Actual	4 Process	High	SL	
19	Track Competition activities and analyse their impact on company (Product/ Prices/ new schemes etc) and plan counter action	Lead	Plan / Actual	5 Learning	High	SL	5%
20	Coordinate with support functions to resolve center issues	Lag	Timeliness	3 Customer	Medium		
21	Resolve customer complain	Lead	Timeliness	3 Customer	High		
22	Plan monthly center visits in coordination with business partners and Ensure center visits and reviews	Lead	Plan / Actual	3 Customer	Medium		
23	Cascade Annual Business Plan into product wise Quarterly plans in coordination with the ASH.	Lead	Quality & Timeliness	4 Process	Low		
24	Communicate monthly targets to the Business Partners through meetings / emails	Lead	Timeliness	4 Process	Medium		
25	Obtain Functional head's approval for Monthly advertising & Marketing Plan		Timeliness	4 Process	Low		
26	Provide support and Guidance on areas of improvement for ensuring desired results	Lag	TAT	4 Process	High		
27	Generate enquiries for setting up new centers through media advertisements / exhibitions/ trade shows/ direct research.	Lead	Number of leads generated	4 Process	Medium		
28	Meet the prospective Business Partner to present the business plan	Lead	Timelness	4 Process	Medium		
29	Inspect the proposed site for feasibility study of setting up of a center at desired location.	Lead	% adherence	4 Process	Medium		
30	Seek approvals from the Functional Head / Legal / network for setting up of the center once prospective Business Partner agrees to the terms and conditions.	Lag	Timeliness	4 Process	Medium		
31	To analyse previous month's performance (billing/collection) and provide corrective actions for achieving desired objectives.	Lag	Plan / Actual	4 Process	Medium		
32	Formulate Promotional Strategy to achieve next month collection/billing target in coordination with business partners.	Lead	Plan/Actual	4 Process	Medium		
33	Ensure reporting and planning in the prescribed format	Lag	Timeliness & Quality	4 Process	Medium		
34	Send monthly report (lost customer / competitors tracking) to sale support at HO.	Lag	% adherence	4 Process	Low		
35	Ensure compliance with ISO and EOS systems & processes	Lead	% adherence	4 Process	Medium		
36	To ensure that the NC raised in the audits are closed within defined time frame	Lag	Timeliness	4 Process	Medium		
37	To analyse reasons for the NC and ensure that proper action is taken to prevent their recurrence.	Lead	Plan / Actual	4 Process	Medium		
38	Coordinate with the Center Manager / Business Partner to ensure that the eCAS data (WCCR/MCCR/MMR/CICS data) is uploaded timely.	Lag	Timeliness	4 Process	Medium		

Appendix 5
Sample KRAs based on 7 Steps (Continued)

	KRA Finalized based on step 1 to 7			
Perspective	KRA	Weitage	Measuring Index	Taget
Team	Developing Successor from within the team	10%	Developing Successor	
Finance	Business Target for Booking & Income of ACE & Arena	20%	% adherence	
	Business Target for Outstanding Collection of ACE & Arena	20%	% adherence	
Customer	Channel management for support & queires	5%	Timeliness	
	% centers with >95% achievement of Booking & Income Targets	15%	% adherence	
	Develop the franchisee network	5%	Plan / Actual	
Process	Develop product wise annual business plan	15%	Timeliness & Quality	
	Formulate monthly business plan to Head office by 20th of every month	5%	Timeliness & Quality	
L&G	Quaterly note on Formal / informal trends in education space with specific focus to competitors	5%	Plan/ Actual	

Appendix 6

Sample Calculations for Target Achievement Ratio (TAR)

KRA	Measuring Index	Weigh-tage (a)	Target (b)	Actual (c)	d=(a/c)	e #	Achievement Ratio f = a*e
Billing	Rs. In Lacs	35%	50	52	1.04	1.00	0.35
Collection	Rs. In Lacs	20%	40	28	0.70	0.70	0.14
Learner Upgrades	% of Total Students	20%	10%	10%	1.00	1.00	0.20
Marketing initiatives	Number of Initiatives	25%	2	2	1.00	1.00	0.25
		100%					**0.94**

e = d if d is less than 1; and e = 1 if d is greater than 1

Thus TAR (Target Achievement Ratio) = 0.35 + 0.14 + 0.20 + 0.25 = 0.94 (i.e. 94%).

Appendix 7

Seven Levels of Attributes considered for Potential & Trait Measurement

	Knowledge
1	Knowledge of Technical and commercial aspects of the job
2	Awareness of the related job
3	Understanding of the Function
4	Appreciation of business and commercial process
5	Knowledge of socio - economic development related to Industry
6	Self driven thirst for knowledge in various disciplines
7	Knowledge of new technology and decision making tools
	Planning Skill
1	Develops & follows action plan for completion of task
2	Anticipates future work requirements and plans for them
3	Plans resources required and uses them effectively
4	Plans short term business development needs and pursues the plan
5	Plans long term business development needs and pursues the plan
6	Visualizes opportunities for division / function other then his and prepares plans
7	Plans for new technologies, decision making tools and initiatives and implements them
	Communication
1	Ability to write clearly and concisely
2	Makes clear and well organized presentations
3	Participates constructively in meetings
4	Shares relevant information within his division and team
5	Does not let communication and composure suffer while working under pressure
6	Builds communication channels and communicates across divisions / functions
7	Enthusiastically propagates changes needed by the organization
	Analytical
1	Ability to analyze relevant information / data
2	Can analyze and predict outcome of pursuing alternative courses
3	Objective analysis of divisional achievements and failures
4	Identifies and analyses core issues concerning the task
5	Evaluates all risks even with inadequate data
6	Anticipates changes / problems, analyses them and takes appropriate action to fulfill commitments made
7	Ability to analyze change process and initiate targeted efforts
	Customer Oriented
1	Responds actively, sensitively & attends to the needs of external and internal customers
2	Take initiatives and responsibility to satisfy external / internal customer needs
3	Takes decisions keeping customer's (external / internal) requirements in mind
4	Takes initiatives to find out emerging and latent customer needs
5	Develops business processes and systems to address latent and emerging customer needs
6	Ability to understands customer needs from multi functional aspects
7	Breaks functional / divisional boundaries to meet customer needs

	Result Oriented
1	Puts in extra efforts when necessary
2	Implements plans effectively
3	Achieve targets within set time frame
4	Accepts personal responsibilities for meeting commitments
5	Does not let priorities, quality and output suffer while working under pressure
6	Shines in crisis situation
7	Takes initiatives in suggesting ideas to improve processes and practices
	Decision Making
1	Ability to arrive at timely and workable decision relating to routine jobs
2	Ability to think, evaluate and recommend alternatives
3	Takes appropriate decisions instead of waiting for instructions
4	Can take tough decisions in interest of business
5	Makes Timely and accurate decision even with inadequate data
6	Welcome assignments even outside his area
7	Initiates actions based on likely future developments in the organization
	Self Development
1	Perceptively identifies his strengths and weaknesses
2	Reflects on feedback and improves his performance
3	Gets help from others when he does not have requisite knowledge / resource
4	Works steadily to build on own strengths and reduce weaknesses
5	Benchmarks business practices followed by the division
6	Acquires cross functional knowledge and Masters new skills
7	Analyses self achievements / failures objectively
	Initiative and Motivation
1	Perseveres in achieving results
2	Improves performance to achieve results
3	Readiness to initiate actions voluntarily
4	Capitalizes on available opportunities
5	Takes concrete measures to improve long term efficacy
6	Adapting to changing organizational needs instantly and voluntarily
7	Interaction with him leaves the other person feeling positive, warm and recharged
	Leadership
1	Ensures that things do not suffer in his absence, Leaves Personal problems unattended for work requirements
2	Demonstrates positive attitude towards tasks, people and change
3	Inspire team members to demanding development goals
4	Sets standards by personal examples
5	Delegates effectively
6	Can Visualize scenario even in areas outside his own
7	Others look to him for advice
	Winning Instinct
1	Accepts extremely difficult targets
2	Dedicated towards job and company goals
3	Self starter and enthusiastic inspite of difficulties and failures

4	Identifies opportunities and displays managerial courage
5	Displays leadership courage despite adverse conditions
6	Versatile even in areas outside his own
7	Gives direction to the function / job
	Creativity
1	Applies knowledge creatively to solve routine problems
2	Generates effective and unique ideas and solution
3	Ability to solve knotty problems
4	Responsible for innovation which have been successfully adopted
5	Foresees future developments in the environment
6	Suggests improvements / innovation in functions / jobs other than his
7	Suggests interventions to achieve business goals and objectives
	Team Spirit
1	Ability to work under leadership of others
2	co-operates with other members to achieve team goals
3	Exhibits praiseworthy initiatives and conduct in any group
4	Maintains spirit of team even under pressure / adverse situation
5	Generates active enthusiasm and sustained commitment to company goals
6	Is an invaluable member of any team
7	Builds a seamless organization by inspiring team to break through boundaries for common goals
	Interpersonal Skills
1	Ability to get accepted in a team
2	Is liked by members across the teams
3	Gets best contribution from others in arriving at creative solutions
4	Ability to establish and maintain relationship and liaison with external agencies
5	Confronts when appropriate and resolves conflicts in a way which allows the team to move forward with positive results
6	Can influence ideas and actions without formal authority
7	Gets positive response from a wide range of people (internal / external)
	People Development
1	Shares his / her expertise in achieving team goals
2	Ability to guide pears
3	Ability to assess strengths, weaknesses and development needs of team members
4	Provide training and other opportunities to team members for improving performance
5	Ability to find deeper interests of team members and assign high priority to people development
6	Willingness to take on responsibilities involving team efforts
7	Encourages others to adopt new technologies and decision making tools
	Integrity
1	Displays exemplary reliability, time and cost consciousness
2	Does not sacrifice company objective for own objectives
3	Makes positive contribution to building company image
4	Puts company image before department / his
5	Has internalized the company's objectives
6	People invariably turn to him when faced with problems, doubts or disagreements in their field
7	Others turn to him when confused with values and norms

Appendix 8

Potential & Trait Measurement Tool – Stage 1

	(A) Assessor:	(R)Reviewer:							
	Name:	Employee Number:		Grade:		Division:			Department:

Sl. No	Parameter	Relevance H/M/L	10 9	8 7	6 5	4 3	2 1	Score Assessor	Score Reviewer	For score > 6, give Examples
1	Knowledge of Technical and commercial aspects of the job		Excellent	Good	Adequate	Average	Poor			
2	Develops & follows action plan for completion of task		Always	Mostly	Sometimes	Rarely	Never			
3	Ability to think, evaluate and recommend alternatives		Excellent	Good	Adequate	Average	Poor			
4	Participates constructively in meetings		Always	Mostly	Sometimes	Rarely	Never			
5	Works steadily to build on own strengths and reduce weaknesses		Always	Mostly	Sometimes	Rarely	Never			
6	Ability to analyse relevant information / data		Excellent	Good	Adequate	Average	Poor			
7	Generates effective and unique ideas and solution		Always	Mostly	Sometimes	Rarely	Never			
8	Inspire teammembers to demanding development goals		Always	Mostly	Sometimes	Rarely	Never			
9	Identifies opportunities and displays managerial courage		Always	Mostly	Sometimes	Rarely	Never			
10	Others turn to him when confused with values and norms		All	Many	Sufficient	Few	None			
11	Awareness of the related job		Excellent	Good	Adequate	Average	Poor			
12	Anticipates future work requirements and plans for them		Always	Mostly	Sometimes	Rarely	Never			
13	Takes appropriate decisions instead of waiting for instructions		Always	Mostly	Sometimes	Rarely	Never			
14	Shares relevant information within his division and team		Always	Mostly	Sometimes	Rarely	Never			
15	Puts in extra efforts when necessary		Always	Mostly	Sometimes	Rarely	Never			
16	Can analyse and predict outcome of pursuing alternative courses		Always	Mostly	Sometimes	Rarely	Never			
17	Ability to solve knotty problems		Excellent	Good	Adequate	Average	Poor			
18	Sets standards by personal examples		Role Model	High	Appreciable	Average	Poor			
19	Understanding of the Function		Excellent	Good	Adequate	Average	Poor			
20	Plans resources required and uses them effectively		Always	Mostly	Sometimes	Rarely	Never			
21	Can take tough decisions in interest of business		Always	Mostly	Sometimes	Rarely	Never			
22	Ability to work under leadership of others		Excellent	Good	Adequate	Average	Poor			
23	Implements plans effectively		Always	Mostly	Sometimes	Rarely	Never			
24	Objective analysis of divisional achievements and failures		Always	Mostly	Sometimes	Rarely	Never			
25	Responsible for innovation which have been successfully adopted		> 10	6 to 10	4 to 5	1 to 3	None			
26	Displays exemplary reliability, time and cost consciousness		Always	Mostly	Sometimes	Rarely	Never			
27	Appreciation of business and commercial process		Excellent	Good	Adequate	Average	Poor			
28	co-operates with other members to achieve team goals		Always	Mostly	Sometimes	Rarely	Never			
29	Achieve targets within set time frame		Always	Mostly	Sometimes	Rarely	Never			
30	Identifies and analyses core issues concerning the task		Always	Mostly	Sometimes	Rarely	Never			
31	Perseveres in achieving results		Always	Mostly	Sometimes	Rarely	Never			
32	Does not sacrifice company objective for own objectives		Always	Mostly	Sometimes	Rarely	Never			
33	Ability to get accepted in a team		Excellent	Good	Adequate	Average	Poor			

Potential & Trait Measurement Tool – Stage 1 (Continued)

34	Exhibits praiseworthy initiatives and conduct in any group		Always	Mostly	Sometimes	Rarely	Never			
35	Accepts personal responsibilities for meeting commitments		Always	Mostly	Sometimes	Rarely	Never			
36	Shares his / her expertise in achieving team goals		Always	Mostly	Sometimes	Rarely	Never			
37	Improves performance to achieve results		Always	Mostly	Sometimes	Rarely	Never			
38	Makes positive contribution to building company image		Always	Mostly	Sometimes	Rarely	Never			
39	Perceptively identifies his strengths and weaknesses		Always	Mostly	Sometimes	Rarely	Never			
40	Is liked by members across the teams		All	Many	Some	Very Few	None			
41	Maintains spirit of team even under pressure / adverse situation		Always	Mostly	Sometimes	Rarely	Never			
42	Accepts extremely difficult targets		Always	Mostly	Sometimes	Rarely	Never			
43	Ability to guide pears		Excellent	Good	Adequate	Average	Poor			
44	Readiness to initiate actions voluntarily		Always	Mostly	Sometimes	Rarely	Never			
45	Puts company image before department / his		Always	Mostly	Sometimes	Rarely	Never			
46	Ability to write clearly and concisely		Excellent	Good	Adequate	Average	Poor			
47	Reflects on feedback and improves his performance		Always	Mostly	Sometimes	Rarely	Never			
48	Gets best contribution from others in arriving at creative solutions		Always	Mostly	Sometimes	Rarely	Never			
49	Takes initiatives to find out emerging and latent customer needs		Always	Mostly	Sometimes	Rarely	Never			
50	Dedicated towards job and company goals		Always	Mostly	Sometimes	Rarely	Never			
51	Capitalises on available opportunities		Always	Mostly	Sometimes	Rarely	Never			
52	Has internalized the company's objectives		Fully	Mostly	Partially	Just begun	Not at all			
53	Makes clear and well organised presentations		Always	Mostly	Sometimes	Rarely	Never			
54	Applies knowledge creatively to solve routine problems		Always	Mostly	Sometimes	Rarely	Never			
55	Demonstrates positive attitude towards tasks, people and change		Always	Mostly	Sometimes	Rarely	Never			
56	Self starter and enthusiastic inspite of difficulties and failures		Always	Mostly	Sometimes	Rarely	Never			
57	Plan short term business development needs and pursues the plan		Always	Mostly	Sometimes	Rarely	Never			
58	Responds actively, sensitively and attends to the needs of external and internal customers		Always	Mostly	Sometimes	Rarely	Never			
59	Take initiatives & responsibility to satisfy external/internal customer needs		Always	Mostly	Sometimes	Rarely	Never			
60	Takes decisions keeping customer's (external / internal) requirements in mind		Always	Mostly	Sometimes	Rarely	Never			
61	Ensures that things do not suffer in his absence, Leaves Personal problems unattended for work requirements		Always	Mostly	Sometimes	Rarely	Never			
62	Ability to assess strengths, weaknesses and development needs of team members		Excellent	Good	Adequate	Average	Poor			
63	Ability to arrive at timely & workable decision relating to routine jobs		Excellent	Good	Adequate	Average	Poor			
64	Gets help from others when he does not have requisite knowledge / resource		Effectively	Co-ordially	Adequate	Little	Nil			
65	Ability to establish and maintain relationship and liaison with external agencies		Excellent	Good	Adequate	Average	Poor			
66	Provide training and other opportunities to team members for improving performance		Excellent	Good	Adequate	Average	Poor			
67	People invariably turn to him when faced with problems, doubts or disagreements in their field		All	Many	Sufficient	Few	None			

Appendix 9

Potential & Trait Measurement Tool – Stage 2

(A) Assessor:			(R) Reviewer
Name:	Employee Number:	Grade:	Division:

Sl.	Parameter	Relevance H/M/L	10 9	8 7	6 5	4 3	2 1	Score Assessor	Score Reviewer	For score > 6, give Examples
1	Ability to understand customer needs from multi functional aspects		Excellent	Good	Adequate	Average	Poor			
2	Adapting to changing organisational needs instantly and voluntarily		Always	Mostly	Sometimes	Rarely	Never			
3	Others turn to him when confused with values and norms		All	Many	Sufficient	Few	None			
4	Benchmarks business practices followed by the division		Always	Mostly	Sometimes	Rarely	Never			
5	Can influence ideas and actions without formal authority		Always	Mostly	Sometimes	Rarely	Never			
6	Breaks functional / divisional boundaries to meet customer needs		Always	Mostly	Sometimes	Rarely	Never			
7	Displays leadership courage despite adverse conditions		Always	Mostly	Sometimes	Rarely	Never			
8	Willingness to take on responsibilities involving team efforts		Always	Mostly	Sometimes	Rarely	Never			
9	Acquires cross functional knowledge and Masters new skills		Always	Mostly	Sometimes	Rarely	Never			
10	Delegates effectively		Always	Mostly	Sometimes	Rarely	Never			
11	Versatile even in areas outside his own		All	Many	Sufficient	Few	None			
12	Displays exemplary reliability, time and cost consciousness		Always	Mostly	Sometimes	Rarely	Never			
13	Makes Timely and accurate decision even with inadequate data		Always	Mostly	Sometimes	Rarely	Never			
14	Analyses self achievements / failures objectively		Always	Mostly	Sometimes	Rarely	Never			
15	Foresees future developments in the environment		Always	Mostly	Sometimes	Rarely	Never			
16	Can Visualize scenario even in areas outside his own		Always	Mostly	Sometimes	Rarely	Never			
17	Gives direction to the function / job		Unique	Definite	General	Some	No			
18	Does not sacrifice company objective for own objectives		Always	Mostly	Sometimes	Rarely	Never			
19	Knowledge of socio - economic development related to Industry		Excellent	Good	Adequate	Average	Poor			
20	Plans long term business development needs and pursues the plan		Always	Mostly	Sometimes	Rarely	Never			
21	Welcome assignments even outside his area		Always	Mostly	Sometimes	Rarely	Never			
22	Enthusiastically propagates changes needed by the organisation		Always	Mostly	Sometimes	Rarely	Never			
23	Evaluates all risks even with inadequate data		Always	Mostly	Sometimes	Rarely	Never			
24	Others look to him for advice		All	Many	Sufficient	Few	None			
25	Makes positive contribution to building company image		Always	Mostly	Sometimes	Rarely	Never			
26	Self driven thirst for knowledge in various disciplines		Excellent	Good	Adequate	Average	Poor			
27	Suggests interventions to achieve business goals and objectives		Always	Mostly	Sometimes	Rarely	Never			
28	Puts company image before department / his		Always	Mostly	Sometimes	Rarely	Never			
29	Knowledge of new technology and decision making tools		Excellent	Good	Adequate	Average	Poor			
30	Shines in crisis situation		Always	Mostly	Sometimes	Rarely	Never			

Potential & Trait Measurement Tool – Stage 2 (Continued)

31	Ability to analyse change process and initiate targeted efforts		Excellent	Good	Adequate	Average	Poor		
32	Has internalized the company's objectives		Fully	Mostly	Partially	Just begun	Not at all		
33	Is an invaluable member of any team		Always	Mostly	Sometimes	Rarely	Never		
34	Takes concrete measures to improve long term efficacy		Always	Mostly	Sometimes	Rarely	Never		
35	Suggests improvements / innovation in jobs other than his		Always	Mostly	Sometimes	Rarely	Never		
36	Confronts when appropriate and resolves conflicts in a way which allows the team to move forward with positive results		Always	Mostly	Sometimes	Rarely	Never		
37	Builds a seamless organization by inspiring team to break through boundaries for common goals		Always	Mostly	Sometimes	Rarely	Never		
38	Ability to find deeper interests of team members and assign high priority to people development		Excellent	Good	Adequate	Average	Poor		
39	Interaction with him leaves the other person feeling positive, warm and recharged		Always	Mostly	Sometimes	Rarely	Never		
40	Does not let communication and composure suffer while under pressure		Always	Mostly	Sometimes	Rarely	Never		
41	Get positive response from a wide range of people (internal/external)		Always	Mostly	Sometimes	Rarely	Never		
42	Encourage others to adopt new technologies & decision making tools		Always	Mostly	Sometimes	Rarely	Never		
43	Builds communication channels and communicates across divisions / functions		Excellent	Good	Adequate	Average	Poor		
44	Visualises opportunities for division / function other then his and prepares plans		Always	Mostly	Sometimes	Rarely	Never		
45	Initiates actions based on likely future developments in the organisation		Always	Mostly	Sometimes	Rarely	Never		
46	Does not let priorities, quality and output suffer while working under pressure		Always	Mostly	Sometimes	Rarely	Never		
47	Anticipates changes / problems, analyses them and takes appropriate action to fulfill commitments made		Always	Mostly	Sometimes	Rarely	Never		
48	Plans for new technologies, decision making tools and initiatives and implements them		Always	Mostly	Sometimes	Rarely	Never		
49	Generate active enthusiasm & sustained commitment to company goals		Always	Mostly	Sometimes	Rarely	Never		
50	Develops business processes and systems to address latent and emerging customer needs		Always	Mostly	Sometimes	Rarely	Never		
51	Takes initiatives in suggesting ideas to improve processes and practices		Always	Mostly	Sometimes	Rarely	Never		
52	People invariably turn to him when faced with problems, doubts or disagreements in their field		All	Many	Sufficient	Few	None		

Appendix 10

Level weightage matrix for Potential& Trait Measurement Tool

Level Weightage matrix based on current position for arriving at Overall Competence Number								
	Levels							
	3rd earlier	Pre preceding	Preceding	Current	Next	2nd higher	3rd higher	Total
Overall Weightages	**0.7**	**0.9**	**1**	**1**	**0.8**	**0.6**	**0.4**	5.4
Level Multiplier Factor	0.13	0.17	0.19	0.19	0.15	0.11	0.07	1

Level Multiplying Factor = (Weightage for the Level) / (Sum total of weightages for all levels)

Appendix 11

"OCN" Calculations – An Example

Work Level: (A) = Officer; (B) = Executive; (C) = Manager; (D) = General Manager

Potential Trait Analysis (Stage 1)												
Name: ABC					**Grade: 123**			**Employee No. 999**				
Division: Student Development					**Department: LMN**							
(A) assessor: PQR					**(R) Reviewer: LMN**							
	Level				**As per Assessor**				**As per Reviewer**			
	Relev-ance (A)	Relev-ance (B)	Relev-ance (C)	Relev-ance (D)	Officer Level (A)	Executive Level (B)	Manager Level (C)	GM Level (D)	Officer Level (A)	Executive Level (B)	Manager Level (C)	GM Level (D)
Ability to Perform												
Knowledge	A1	B1	C1	D1	E1	F1	G1	H1	J1	K1	L1	M1
Planning	A2	B2	C2	D2	E2	F2	G2	H2	J2	K2	L2	M2
Communication	A3	B3	C3	D3	E3	F3	G3	H3	J3	K3	L3	M3
Analytical	A4	B4	C4	D4	E4	F4	G4	H4	J4	K4	L4	M4
Customer orientation	A5	B5	C5	D5	E5	F5	G5	H5	J5	K5	L5	M5
Result orientation	A6	B6	C6	D6	E6	F6	G6	H6	J6	K6	L6	M6
$ APL Number									**WPA**	**WPB**	**WPC**	**WPD**
Potential to Grow												
Decision Making	A7	B7	C7	D7	E7	F7	G7	H7	J7	K7	L7	M7
Self Development	A8	B8	C8	D8	E8	F8	G8	H8	J8	K8	L8	M8
Initiative & Motivation	A9	B9	C9	D9	E9	F9	G9	H9	J9	K9	L9	M9
Leadership	A10	B10	C10	D10	E10	F10	G10	H10	J10	K10	L10	M10
Winning instinct	A11	B11	C11	D11	E11	F11	G11	H11	J11	K11	L11	M11
! PGL Number									**XGA**	**XGB**	**XGC**	**XGD**
Ability to Change												
Interpersonal relationship	A12	B12	C12	D12	E12	F12	G12	H12	J12	K12	L12	M12
Creativity	A13	B13	C13	D13	E13	F13	G13	H13	J13	K13	L13	M13
Team spirit	A14	B14	C14	D14	E14	F14	G14	H14	J14	K14	L14	M14
people development	A15	B15	C15	D15	E15	F15	G15	H15	J15	K15	L15	M15
@ ACL Number									**YCA**	**YCB**	**YCC**	**YCD**
	Level Multiplier Factor #											
Overall	**(A)**	**(B)**	**(C)**	**(D)**								
$$ APS number (Max 1)	**a**	**b**	**c**	**d**					**W**			
!! PGS Number (Max 1)	**a**	**b**	**c**	**d**					**X**			
@@ ACS Number (Max 1)	**a**	**b**	**c**	**d**					**Y**			
^ OC Number (Max 1)									**AA**			
Integrity	A16	B16	C16	D16	E16	F16	G16	H16	J16	K16	L16	M16
	N16	P16	Q16		R16	S16	T16		U16	V16	W16	
I Factor (Max 1)										**Z**		

Ability to Perform Level Number (APL):

APL for Officer Level by Reviewer = (WPA) =

(A1*J1+A2*J2+A3*J3+A4*J4+A5*J5+A6*J6) / 10*(A1+A2+A3+A4+A5+A6)

APL for Executive Level by Reviewer = (WPB) =

(B1*K1+B2*K2+B3*K3+B4*K4+B5*K5+B6*K6) / 10*(B1+B2+B3+B4+B5+B6)

APL for Manager Level by Reviewer = (WPC) =

(C1*L1+C2*L2+C3*L3+C4*L4+C5*L5+C6*L6) / 10*(C1+C2+C3+C4+C5+C6)

APL for General Manager Level by Reviewer = (WPD) =

(D1*M1+D2*M2+D3*M3+D4*M4+D5*M5+D6*M6) / 10*(D1+D2+D3+D4+D5+D6)

*[APL = [Sum total of (item score * relevance score) for ability to perform attributes for a given level] / (maximum possible score)*

*Maximum Possible Score = (10 * Sum total of relevance score for ability to perform attributes)*
Note: Maximum possible score for any item is 10 (Scale 1 to 10)].

Potential to Grow Level Number (PGL):

PGL for Officer Level by Reviewer = (XGA) =

(A7*J7+A8*J8+A9*J9+A10*J10+A11*J11) / 10*(A7+A8+A9+A10+A11)

PGL for Executive Level by Reviewer = (XGB) =

(B7*K7+B8*K8+B9*K9+B10*K10+B11*K11) / 10*(B7+B8+B9+B10+B11)

PGL for Manager Level by Reviewer = (XGC) =

(C7*L7+C8*L8+C9*L9+C10*L10+C11*L11) / 10*(C7+C8+C9+C10+C11)

PGL for General Manager Level by Reviewer = (XGD) =

(D7*M7+D8*M8+D9*M9+D10*M10+D11*M11) / 10*(D7+D8+D9+D10+D11)

*PGL = [Sum total of (item score * relevance score) for potential to grow attributes for a given level] / (maximum possible score)*
*Maximum Possible Score = (10 * Sum total of relevance score for potential to grow attributes)*
Note: Maximum possible score for any item is 10 (Scale 1 to 10).

Ability to Change Level Number (ACL):

ACL for Officer Level by Reviewer = (YCA) =

(A12*J12+A13*J13+A14*J14+A15*J15) / 10*(A12+A13+A14+A15)

ACL for Executive Level by Reviewer = (YCB) =

(B12*K12+B13*K13+B14*K14+B15*K15) / 10*(B12+B13+B14+B15)

ACL for Manager Level by Reviewer = (YCC) =

(C12*L12+C13*L13+C14*L14+C15*L15) / 10*(C12+C13+C14+C15)

ACL for General Manager Level by Reviewer = (YCD) =

(D12*M12+D13*M13+D14*M14+D15*M15) / 10*(D12+D13+D14+D15)

*ACL = [Sum total of (item score * relevance score) for ability to change attributes for a given level] / (maximum possible score)*
*Maximum Possible Score = (10 * Sum total of relevance score for potential to grow attributes)*
Note: Maximum possible score for any item is 10 (Scale 1 to 10).

Ability to Perform Stage Number (APS):

APS = W = (a*WPA+b*WPB+c*WPC+d*WPD) / (a+b+c+d)

*APS = [Sum total of (APL * level multiplying factor) for all levels in the stage] / (Sum total of multiplier factors)*

Potential to Grow Stage Number (PGS):

PGS = X = (a*XGA+b*XGB+c*XGC+d*XGD) / (a+b+c+d)

PGS = [Sum total of (PGL * level multiplying factor) for all levels in the stage] / (Sum total of multiplier factors)

Ability to Change Stage Number (ACS):

ACS = Y = (a*YCA+b*YCB+c*YCC+d*YCD) / (a+b+c+d)

*ACS = [Sum total of (ACL * level multiplying factor) for all levels in the stage] / (Sum total of multiplier factors)*

Overall Competence Number (OCN):

OCN = AA = **[W + X + Y]/3**

Maximum value of APS, PGS, ACS and OCN can be one.

Integrity Factor (I) is calculated as follows:

Z = (A16*J16+B16*K16+C16*L16+D16*M16+N16*U16+P16*V16+Q16*W16) /
(A16+B16+C16+D16+N16+P16+Q16)

*I Factor = [Sum total of (item score * relevance score) of all items for Integrity] / (maximum possible score)*
*Maximum Possible Score = (10 * Sum total of relevance score for Integrity Items)*
Note: Maximum possible score for any item is 10 (Scale 1 to 10).
Maximum value of I Factor can be 1.

Overall Competence Number (OCN) and Integrity Factor (I Factor) are used to arrive at Subjective Impression "SI" Factor.

SI Factor = (OCN + I Factor)/2 = [AA + Z] / 2

Appendix 12

Subjective Impression Report – Potential & Trait Measurement Tool Output

Work Level: L1 = Officer; L2 = Executive; L3 = Manager; L4 = General Manager

	Level				Ratings As per Assessor				Ratings As per Reviewer			
	Relev-ance for (L1)	Relev-ance for (L2)	Relev-ance for (L3)	Relev-ance for (L4)	Entry Level (L1)	Grade Group Growth (L2)	Manag er Level (L3)	GM Level (L4)	Entry Level (L1)	Grade Group Growth (L2)	Manag er Level (L3)	GM Level (L4)
Ability to Perform												
Knowledge	3	3	2	3	9	9	9	8	9	9	9	7
Planning	3	3	1	2	8	8	8	8	7	9	8	7
Communication	2	2	2	1	8	9	9	9	8	8	8	8
Analytical	3	2	1	3	9	8	8	9	9	7	8	8
Customer orientation	2	3	3	2	9	9	8	8	8	8	8	8
Result orientation	3	3	1	3	9	9	9	8	9	9	9	8
$ APL Number					**0.87**	**0.87**	**0.85**	**0.83**	**0.84**	**0.84**	**0.83**	**0.76**
Potential to Grow												
Decision Making	2	3	3	3	9	8	8	8	9	8	7	7
Self Development	3	2	2	2	8	8	9	9	8	7	9	9
Initiative & Motivation	3	3	3	2	9	9	9	8	9	9	9	8
Leadership	3	2	1	2	9	9	8	8	9	10	7	7
Winning instinct	3	3	3	1	8	8	8	8	8	9	8	8
! PGL Number					**0.86**	**0.84**	**0.84**	**0.82**	**0.86**	**0.86**	**0.81**	**0.77**
Ability to Change												
Interpersonal relationship	2	3	2	3	9	9	8	9	9	10	8	8
Creativity	1	3	1	3	9	8	8	8	9	7	7	8
Team spirit	2	1	2	3	10	9	9	8	9	8	8	7
people development	2	2	1	1	9	9	8	8	8	8	7	8
@ ACL Number					**0.93**	**0.87**	**0.83**	**0.83**	**0.87**	**0.83**	**0.77**	**0.77**
	Level Multiplier Factor #											
Overall	**(A)**	**(B)**	**(C)**	**(D)**								
$$ APS number (Max 1)	**0.19**	**0.19**	**0.15**	**0.11**			**0.86**				**0.83**	
!! PGS Number (Max 1)	**0.19**	**0.19**	**0.15**	**0.11**			**0.84**				**0.83**	
@@ ACS Number (Max 1)	**0.19**	**0.19**	**0.15**	**0.11**			**0.87**				**0.82**	
^ OC Number (Max 1)							**0.86**				**0.83**	
Integrity	3	3	3	3	8	8	9	8	8	8	9	7
	2	1	1		9	8	8		9	8	8	
I Factor (Max 1)						**0.83**				**0.81**		

Appendix 13

Training & Development Report – Potential & Trait Measurement Tool Output

Name: AAA		Employee Number: 234			Division: LMN			Department: PQR				
Grade: 123	(A)Assessor: PQR				(R) Reviewer: STU							
	Entry Level	A	R	Grade Group Growth	A	R	Next Higher Level	A	R	Two Levels Higher	A	R
Ability to Perform												
Knowledge	Technical & Commercial Aspects of Job	8 H	6	Related Job	8 H	6	Function	7 M	7	Business	4 H	5
Planning	Task Plan	7 H	6	Future	6 H	5	Resources	7 L	8	ST Business	7 M	7
Communication	Written	8 M	7	Presentation	6 M	4	Meetings	6 M	5	Sharing with in div	3 L	4
Analytical	Data	6 H	6	Alternates	1 M	1	Success / failure	2 L	3	Core Issues	6 H	6
Customer orientation	Attends Needs	8 M	7	Initiates	8 H	7	Cust. Oriented Decisions	6 H	6	Emerging / Latent needs	5 M	5
Result orientation	Extra Efforts	5 H	6	Implements Plans	7 H	7	Achieves Targets	9 L	9	Personal Responsibility	5 H	6
APL Number (Max 1)		**0.69**	**0.63**		**0.63**	**0.53**		**0.62**	**0.62**		**0.51**	**0.56**
Potential to Grow												
Decision Making	Routine jobs	6 M	7	Recommend alternatives	6 H	6	initiates decisions	3 H	3	can take tough decisions	3 H	4
Self Development	Analyse Strength Weakness	5 H	6	Improves based on feedback	8 M	6	Take help from others	8 M	8	Builds on S & W	6 M	6
Initiative & Motivation	Perseverance	7 H	7	Improves Performance	7 H	6	Initiates Actions	6 H	8	Available opportunities	8 M	8
Leadership	In absence job does not suffer	5 H	4	Positive attitude	7 M	7	Inspires Others	2 L	1	Sets Standards	3 M	3
Winning instinct	Difficult targets	6 H	7	Dedicated	8 H	7	Self Starter	7 H	7	Managerial courage	4 L	4
PGL Number (Max 1)		**0.58**	**0.61**		**0.72**	**0.64**		**0.55**	**0.59**		**0.47**	**0.50**
Ability to Change												
Interpersonal relationship	Accepted by Team	8 M	8	Liked by Team	6 H	4	Gets best team contribution	6 M	6	Relations with external Agencies	6 H	6
Creativity	in Routine Problems	5 L	5	Unique ideas	5 H	5	Solves knotty problems	3 L	4	Successful in implementing innovation	2 H	2
Team spirit	Work under leadership	7 M	8	Co-operates for team goals	5 L	3	Praiseworthy innitiatives in any team	7 M	8	Team Spirit even under pressure	6 H	6
people development	Shares expertise	7 M	7	Guides pears	6 M	7	assess strength / weakness of teammembers	7 L	6	Provides improvement opportunities to others	4 L	5
ACL Number (Max 1)		**0.70**	**0.73**		**0.56**	**0.49**		**0.60**	**0.63**		**0.46**	**0.47**
Integrity												
	Reliable, Time and cost consciousness	2 H	2	Company objectives above own	2 H	3	Builds company image	6 H	5	Company image before dept and self	8 H	8
	Internalized company objectives	8 M	5	People turn to him during problems	4 L	3	People turn to him for value judgement	2 L	1	**I Factor (Max 1)**	**0.48**	**0.43**
Overall Competency Number (OCN) {Max 1}				**By Assessor:**	**0.60**		**By Reviewer:**	**0.59**				
Mode	**Assessor:**	**6**		**Reviewer:**	**6**							

Appendix 14

360 degree Instrument for 'OASIS" Model

Category	Item	Score					
	L1: Individual Performer	1	2	3	4	5	NA
Vision	Knows & Understands organization Vision						
	Aligns self conduct to Organizational vision						
Values	Knows & Understands organization Values						
	Adheres to stated organization Values for general conduct						
Policy & Process	Adheres to organizational policies & processes relating to work						
	Suggests constructive modifications for out of relevance policies & Processes						
Team Work	Foster a spirit of team work and collaboration amongst co-members						
	Maintains good work relations within workgroup						
Liaison with Seniors	Understands superior's expectations and communicates with him / her effectively						
	Influences thinking of the Superior for getting desired support / resources						
Customer Relationship Management	Meet customers (internal / external) frequently and get to know them better						
	Understands customer's difficulties and solves problems constructively						
Result Orientation	Ensures Quality & Timely completion of the assignment at hand						
	Keeps work progress informed to the customers regularly						
Innovation Orientation	Keeps in touch with latest developments in the work area						
	Suggests improvements for operational efficiency in the work area						
Public Relations	Maintains good relations with all members in the work chain						
	Participates in Organizational functions and other ceremonies						
	L2: Team Leader / Dept Head						
Vision	Knows, Understands and Aligns own conduct to organization Vision						
	Communicates organization vision to team members						
Values	Knows, Understands and Adheres organization Values						
	Adhere to stated organization Values by team members						
Policy & Process	Ensures adherance to organizational policies & processes by team members						
	Endeavours to get out of relevance policies & Processes modified						
Team Work	Foster a spirit of team work and collaboration amongst related work groups						
	Manage different view points amongst team members to build collaborative culture						
Liaison with Seniors	Understands superior's expectations and communicates with him / her effectively						
	Influences thinking of the Superior for getting desired support / resources						
Customer Relationship Management	Meet customers frequently to know them better and solve problems constructively						
	Evolves systems & Processes to improve customer satisfaction						
Result Orientation	Ensures adherence to quality & time targets by the team members						
	Foresees likely problems and Plans corrective actions proactively to achieve desired results						
Innovation Orientation	Keeps in touch with latest developments in the work and related areas						
	Implements new systems & processes for operational & cost efficiency in the work area						
Public Relations	Maintains good relations with all members in the work chain						
	Participates in Organizational functions and other ceremonies						
Team Development	Create opportunities for team members to make an impact						
	Provide proper time, guidance and counselling to team members						
	L3: Top Management						
Vision	Inspires members through effective communication of organization vision						
	Develops new initiatives to achieve organization vision and make impact in area of operation						
Values	Promotes and communicates effectively work ethics based on organization Values						
	Monitor to ensure that organization values are practised uniformly						
Policy & Process	Ensures adheres to organizational policies & processes even in difficult situations						
	Reviews Policies and Processes regularly to keep them current and relevant						
Team Work	Carry other divisions along to contribute to the organizational goals and standards						
	Show a high concern for team member's welfare and good quality of work liffe						
Liaison with Seniors	Influence the thinking of the senior management team and communicates effectively to get their support and resources						
	Liaison with other functionaries and the top management to keep them informed of various developments and to get needed support						
Customer Relationship Management	Builds customer focus in team members and monitors customer satisfaction						
	Evolve strategies to improve customer satisfaction						
Result Orientation	Sets long term goals and objectives for the area of operation						
	Supports and helps team members to achieve set goals						
Innovation Orientation	Keep in touch with global developments in the related industry and / or function						
	Introduce new techniques / technologies to facilitate good products, services and work efficiency						
Public Relations	Maintain good relations with various government, media and other public agencies						
	Participates in functions and other ceremonies and performing ceremonial roles						
Team Development	goals						
	Provide a sense of ownership and significance to the members						

Appendix 15

Experts' Profile

Dr. BijuVarkkey: HR Professor at IIM Ahmadabad for Performance Management & Employee Relations, Strategic Human Resource Management etc has professional experience spanning industry, consulting and leading management schools. He has consulted and trained government, public, private &non government organizations. He served as nominated member in the Core Committee of National HRD Network-Delhi Chapter (1998-1999) and as member of the founding governing body of strategic management forum of India.

WgCdr B S Mahal (Retd.): A postgraduate in Defense Studies, Business Administration, and Operations Research & Computers, is currently associated with Institute of Business Studies & Research, Mumbai. His 42 years of work experience spans across defense services and the private sector with telecommunication organization and a well diversified group. His consultancy assignments include designing vision, mission and value statements, HR policies, Performance Management Systems, OD, Performance based assignments.

Dr. C M Ramesh: A fellow of IIM Ahmadabad, has long years of experience in academia. Currently he is Director of VIT Business School, Vellore.

Dr. GinlianlalBuhril: Alumnus of JNU (Delhi) and XLRI, Jamshedpur has Doctoral degree in management. His experience spans across Industry and Academia. He served leading institutes like Mumbai School of Business, Institute of Business Studies and Research as Dean / Director. Currently he is associated with Asian Institute of Communication and Research.

Prof K V Ganpati: A post graduated from Tata Institute of Social Sciences in the field of Personnel Management has graduated in Economics from Mumbai University. More than three decades of experience spans across Academia and Industry. He is currently associated with Chetna Institute of Management & Research as Head of Human Resource Department.

Dr. NiharikaVora: A PhD in Social Psychology from University of Canada is a Professor of Organizational Behavior at IIM Ahmadabad. A leading organizational behavioral trainer has trained many small scale industries in Orissa in collaboration with Small Industries Development Bank of India and many other small, medium and large industries.

Dr. SatishPai: Winner of "National Best Trainer" award by NTPI, Government of India in 2003, Human Resource and Executive Development expert and author of books on Human Resource Practices is currently Director, Executive Education at ArunaManharlal Shah Institute of Management & Research. His three and half decades of professional experience spans across academia and Industry with companies like Reliance Energy, Eurasia Shipping & IL&FS. To his credit is creation of training Institutes for banking, power and shipping sectors.

Dr. SharadAnantKhopkar: is currently Director with Institute of Management & Career Development, Pune and is recognized research guide of University of Pune and D Y Patil University.

Dr. Vijay Sherry Chand: A Professor at IIM Ahmadabad with interests in courses on Communication, Research Methods and the Social Environment of Business. Prior to joining academics in 1993, he worked with social development organizations for about eleven years, planning and implementing a variety of developmental programs for socio-economically marginalized dalit and tribal communities in western and central India, within an educational framework that combined augmenting social awareness and justice with concrete economic development.

Dr.VipulVyas: is currently Associate Director with Saraswati Education Society's Group of Institutions Faculty of Management. He has close to two decades of experience in Industry and Academics. He is actively involved in conducting Management Development Programs in the area of Team Building, Stress Management, Leadership, and Meditation to help trainees explore their hidden potential.

GinilShirodkar: an alumnus of JBIMS- Mumbai and certified Trainer on Stephen Covey's 7 Habits of Highly Effective People is Managing Director of Strides International that works to provide pragmatic and sustainable solutions to a variety of business challenges in diverse situations. His four plus decades ofexperience spans across companies like Roche Products, Metal Box and Proctor & gamble for managing and leading Human Resource Department. His last assignment was HR Director- Asia Pacific with Proctor & Gamble.

IndruBalchandrani: alumnus of XLRI, Jamshedpur is Executive Director with PAD Consultancy. He has 25 years of corporate experience in engineering, banking, FMCG & Media segments. His last assignment was Director – HR for ZEE Entertainment for Broadcast operations worldwide.

Kumar Jagtiani: Director of Human Edge Consulting is a graduate from New York University. Human Edge consulting empowers organizations to take them more systematic and informed decision in employment development, retention & talent management.

Radhakrishnan Menon: a management graduate from TISS is Managing Director and Founder of LBW Consulting Pvt Limited. His three decades of experience in HR leadership, Strategic & Operations role spans across diverse businesses & cultures like Hindustan Lever, America Express, GE and Cadbury.

Rajesh Kamat: a co-founder of MTHR is Principal Consultant – Learning & development wing of Cerebrus Consultants. His long years of experience, spans across organizations like CMS, Kale Consultants, Mahindra & Mahindra Ltd, and SHRM ltd.

Dr. RajnishKarki: an engineering graduate form IIT Kanpur and fellow of IIM Ahmadabad has taught Strategic Management in the masters, executive and doctoral programs at IIM Ahmadabad and Policy Analysis at the LBS national academy of Administration, Mussoorie. He has authored the path-breaking book "Competing with the Best: Strategic Management of Indian companies in a

globalizing Arena (Penguin: india-2008, Global-2009)". He has worked in a special cadre of ACC Ltd. – prepared and helped implement a turnaround plan for an old unit and set up corporate planning function.

RajashriHazare: a Director with Cerebrus Consultants has led assignments in the areas of performance management, assessment centers, organization restructuring and transformation. A management graduate from Symbiosis Institute of Business Management, Pune has worked with organizations like Nelco, Aristo and Wyeth Lederle for over a decade before starting consulting career.

SumanJha: a management graduate from TISS, Mumbai and was associated with Transworld group of companies as Group HR Head. Currently he is CEO of Eva HR Solutions which partners organizations in creating sustainable superior performance.

Dr. T V Rao: Chairman of T V Rao Learning Systems Pvt. Ltd. and Academic Council, Academy of Human Resources Development, Ahmadabad was a Professor at the IIM Ahmadabad for over 20 years. Dr. Rao has designed and assisted in implementing performance appraisal and other HRD Systems for a number of organizations in India and Abroad. T V Rao is also known as father of HRD in India.

Umesh Raj: Management graduate fromTISS with more than 30 years of HR experience in organizations like Tata power, Tata Unisys ltd and Gabriel Ltd., is currently running his own management consultancy providing strategic Interventions to clients in the areas of leadership, Coaching & organization design.

VinitTaneja: Engineering graduate from IIT Kanpur and Management Post Graduate from IIM Calcutta is Chief Executive Officer of Prerna Centre of Learning that focuses on developing consciousness centered leadership to transform organizations and society. His close to three decades of experience spans across sales, supply chain management, consulting and human resource management.

Vinit has handled various assignments with Gillette India, Johnson & Johnson Ltd, and BhartiAirtel Limited.

AkshayBandhu: Senior VP – Learning & Development at iYogi has close to 28 years of experience in learning & development domain with top and bottom line responsibility of the business.

AshishGakrey: a management Graduate from Pune University and Founder member of MTHR global has eleven years of experience in HR Strategy & Operations with organization like ZycusInfotechPvt Ltd, BPL Mobile Communications and Intelenet. He is currently working with Capgemani in People Relationship Management role.

Anuj Kacker: graduate of engineering from IIT Kanpur and management post graduate from IIM Calcutta is currently Chief Operating Officer for Retail business of Aptech Limited. He has close to three decades of industry experience in leading organizations.

Dr. Hemjit Bala: professional with close to two decades of robust experience in the field of HR with global giants in petrochemical / Polyester / Pharmaceutical and Health care business is currently leading a Health Care management Organization (US based physicians group) as "Group Senior VP and Head Strategy & HR" at their knowledge process outsourcing office in India. His interest areas are strategy, leadership, organization development and change management. He has authored various articles in National and International journals and forums most notably Harvard Business School – Working Knowledge case Studies, CNN Money.Com etc. He is also a visiting faculty at Tata Institute of Social Science, Mumbai.

Thomas Mathew: Thomas has 20 years of HR experience in organizations like NIIT, NIS Sparta &BhartiAirtel. Currently he is leading HR function for Centrum Learning Limited (associate organization of Bharti Group).

Murlidhar Rao- is currently Chief Executive Officer of Future Human Development Limited, which focuses on making more Indian employable. Rao has

27 years of experience in Learning, training & Education. In his last role as President of NIS Sparta, he oversaw the launch and scaling up of significant educational initiatives and was associated with the conceptualization and implementation of several corporate academics. Murli is on the panel of speakers for institutes such as IIT Delhi, CII, ASSOCHAM, National HRD Network and FICCI on HR, CRM and ERM related issues.

Dr. PramodKhera: engineering graduate from IIT Delhi, post graduate in Management from IIM Bangalore has done doctorate program from Pune University in Knowledge management. He is currently Executive Director with Repro India Limited and has close to three decades of experience with Industry in leadership roles.

Rajeev Bhadauria: President HR at Reliance - ADA Group, has a rich, diverse and rare experience as HR Professional in both Public and Private Sector. He was the youngest Regional HR Head leading NTPC's largest region in terms of the generating capacity and workforce. He has managed acquisition, de-merger, incubation, steady state operations and wage settlements.

Ravi Kumar: a Post Graduate from TISS, Mumbai is currently associated with Repro India Limited as VP-HR. His more than two decades of industry experience as HR professional spans across manufacturing, financial services, Information Technology and Pharma sectors. He has worked with organizations like Financial Technologies, SBI Mutual Fund, Wockhardt, and INOX Air products Ltd.

ShouryaChakvorthy: post graduate from Xavier Institute of Social Science Ranchi has close to two decades of experience in setting up, stabilizing and integrating business HR operations. He has successfully led organization-wide change initiaves from conceptualization to execution with wing-to-wing solutioning. Shourya has served with organizations like Aditya Birla, GE, HSBC, Firstsource solutions. Currently he is Sr. Vice

List of Publications

1) Strategic HRM – "6C" Model A Comprehensive Framework Revisiting Role of Human Resource Function
   Published in Anvesha – Vol. 3 No. 1; Jan – Jun 10; ISSN 0974-5467

2) Strategic Talent Retention Management – An Art of implementingProcess Science: Challenges & Opportunities
   Published by Consultancy Development Centre – Vol. 4 No. 2; Jul 2010

3) Practices & Issues in Performance Management Systems for Knowledge Workers – Survey findings from companies in Knowledge Economy
   Published by Consultancy Development Centre – Vol. 5 No. 2; Jul 2011

Brief Biography of the Candidate

Name: Mr. Ajay Oberoi; Age: 54 years;

Qualification: BE, DFM

Designation: Executive Vice President - Aptech ltd,

Brief Background:HR & Business professional with 30+ years of experience with Automobile, Construction Equipment; ITES; and Training and Education in Leading Human Resource Function; M&A; Building startup operations / Businesses; Sales and Marketing; and Quality Assurance.

Recipient of "Outstanding Research Paper Award" at "International Conference on Management Strategies - 2009" organized by Mumbai University. Paper presented on 1) Redefining Role of HR; 2) Strategic Talent Retention

Specialties : HRM & General Management; Designing Environment / Business Specific HR Solutions; Mentoring & Coaching - Leadership Development; Role & Position Evaluation - Compensation & Benefits Management; Talent Acquisition; Operations; and Negotiations.

Brief Biography of the Supervisors

Name: Dr. ChadaramSatyanarayana; Age: 49 Years;

Qualification: Ph.D., M.M.S, B.Com.

Designation: Director, at YadavraoTasgaonkar School of Business Management (YTSBM) Bivpuri, Karjat

Brief Background: With 23+ years of experience in industry and academia, he is a recognized Research Guide at Dr. D.Y. Patil University and M. Phil guide for Madurai Kamaraj University. He has presented research article at a national seminar on Competency Management, 2007 at ITM Management Institute, and on Knowledge Management at International Conference-HR at PIMSR. He has published articles titled "Voluntary Retirement Scheme: Whose Economic Gain – A study of 25 companies in Greater Mumbai", in Journal of GlobalEconmy.Vol.2 (No.4), December-06. He is member of Sunrise Rotary Club, Navi Mumbai and Chairman of SaiAnant Cooperative Society.

Name: Dr. JyotsnaDhuru; Age: 71 Years;

Qualification: Fellow IIM (Ahmedabad); M.A. (Sociology);

Designation: Director, VernalisIndia Pvt. Ltd.; ;Juhu; Mumbai – 400 049

Brief Background: An acknowledged skill building and leadership development trainer, Organizational diagnosis, design and HR Strategies consultant, Assessor at "Assessment & Development Centers", and a management educator with over 40 years of experience. Life member of Alumni Association of Indian Institute of Management Ahmedabad, Bombay Management Association, HRD Network-Mumbai Chapter and associate member of Indian Society for applied Behavioral Sciences and Indian Society for Individual and Social Development