Chapter - 8

Appendix

8.1- Bibliography
8.2- Model Questionnaires
8.1- Bibliography

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Appendix 1.1

Interview Schedule for Appraisees

PERSONAL DATA

NAME

AGE

DESIGNATION

DEPARTMENT

LENGTH OF SERVICE

PRESENT SALARY

NATURE OF WORK

____________________________

Joined as____________________(cadre)

on____________________(date)

at____________________(place)

Promoted on____________________(date)

as____________________(cadre)

Transferred

to______________________________(place)

Qualifications:

Academic____________________________

Professional/Technical____________________________
SECTION -A

A-1 Are you aware about the performance appraisal process in your organisation. (Please tick one)
   Yes [ ] No [ ]

A-2 What do you think about the appraisal system in general?
   a) Just a formality [ ]
   b) A necessary evil [ ]
   c) Something useful to employees and organisation [ ]

A-3 In your opinion should the appraisal primarily related to:
   (Please give ranks a, b, c..................)
   a) Task laid out [ ]
   b) methods used to carry out the tasks [ ]
   c) the individual as a person [ ]
   d) Any other (please specify) [ ]

A-4 Rank the measure which should be adopted by your the organisation to measure performance of workers. (Please give ranks a, b, c...)
   1. Work Knowledge [ ]
   2. Quality of work [ ]
   3. Quantity of work [ ]
   4. Technical Knowledge [ ]
   5. Dependability [ ]
   6. Team work [ ]
   7. Attendance [ ]

A-5 Rank the measures which should be adopted by your organisation to measure the performance of supervisors. (Please give rank a, b.c.........)

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A-6 Rank the measures which should be adopted by your organisation to appraise the performance of Managers. (Please give ranks a, b, c ...)

<table>
<thead>
<tr>
<th>Rank</th>
<th>Measure</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Work knowledge</td>
</tr>
<tr>
<td>2</td>
<td>Planning and organising</td>
</tr>
<tr>
<td>3</td>
<td>Personality traits</td>
</tr>
<tr>
<td>4</td>
<td>Managerial Abilities</td>
</tr>
<tr>
<td>5</td>
<td>Decision making</td>
</tr>
<tr>
<td>6</td>
<td>Behaviour with superiors</td>
</tr>
<tr>
<td>7</td>
<td>Behaviour with peers</td>
</tr>
<tr>
<td>8</td>
<td>Behaviour with subordinates</td>
</tr>
<tr>
<td>9</td>
<td>Any other (Please specify)</td>
</tr>
</tbody>
</table>

SECTION - B

B1. To what extent do you agree to the following statements?

[Please tick the appropriate brackets (s)]

<table>
<thead>
<tr>
<th>Strongly Agree</th>
<th>Agree</th>
<th>Un-decided</th>
<th>Disagree</th>
<th>Strongly Disagree</th>
</tr>
</thead>
</table>

i) Appraisers evaluate the personal loyalty of the subordinate rather than his actual performance

   [ ]     [ ]     [ ]     [ ]     [ ]     [ ]

ii) Personal relationships of appraiser influence the ratings.
iii) Likes, and dislikes and prejudices of the appraiser influence his rating.

iv) Last few months before the appraisal date are crucial in influencing the assessment.

v) The appraisal largely depends on appraiser’s memory.

vi) The performance appraisal does not fully represent the actual performance of the employees.

vii) Subordinates are also responsible for making the appraisals subjective by trying to win the favour of appraisers.

viii) Performance Appraisal does not reflect the performance of the employees for entire period of the review but generally depicts the behaviour of the employees during the last few months prior to evaluation.

ix) Negative feedback by appraiser

a) results in job dissatisfaction.

b) results in frustration in employees.

c) produces hostility.

d) produces resentment.

e) results in better future performance.
C1. / How far the Appraisal system affect the following aspects of your job. [Please tick the appropriate bracket(s)]

<table>
<thead>
<tr>
<th></th>
<th>Always</th>
<th>Sometimes</th>
<th>Never</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Promotion</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) Placement &amp; Transfer of employees</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) Increments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d) Identifying training needs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e) Career Planning of employees</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>f) Special recognition of employees for meritorious service</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>g) Restricting the job responsibilities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>h) Any other (please specify)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
D2. To what extent have the performance appraisal systems help you in: [Please tick the appropriate bracket (s)]

Yes [ ] No [ ]

a) Improving the present performance [ ] [ ]
b) Improve communication [ ] [ ]
c) Setting higher goals for the future [ ] [ ]
d) Self development [ ] [ ]
e) Deal directly with work related problems [ ] [ ]

D3. How far the following factors are affecting the performance appraisal system in your organisation? [Please tick the appropriate bracket (s)]

Always [ ] Sometimes [ ] Never [ ]

a) Lack of time on appraiser’s part [ ] [ ] [ ]
b) Lack of time on appraisee’s part [ ] [ ] [ ]
c) Lack of interest on appraiser’s part [ ] [ ] [ ]
d) Lack of interest on appraisee’s part [ ] [ ] [ ]

SECTION - E

E1. How far are you satisfied with the following? [Please tick the appropriate bracket (s)].

High [ ] Moderate [ ] Low [ ] Nil [ ]

a) Present salary [ ] [ ] [ ] [ ]
b) Other benefits like retirement, pension, gratuity, bonus etc. [ ] [ ] [ ] [ ]
c) Your Job [   ] [   ] [   ] [   ] [   ]
d) Continuous work prospects [   ] [   ] [   ] [   ] [   ]
e) Promotion policies [   ] [   ] [   ] [   ] [   ]
f) Opportunity to learn job skills [   ] [   ] [   ] [   ] [   ]
g) Organization’s training programmes [   ] [   ] [   ] [   ] [   ]
h) Opportunity for employee decision making [   ] [   ] [   ] [   ] [   ]
i) Steadiness of employment [   ] [   ] [   ] [   ] [   ]
j) Atmosphere of your work group and cooperation with unions [   ] [   ] [   ] [   ] [   ]
k) Organization’s attitude towards employees [   ] [   ] [   ] [   ] [   ]

E2. How interesting does you find your work. (Please tick one)

Interesting [ ] Neither interesting [ ] Boring [ ] nor boring

E3. What changes in the job situation will help you to increase efficiency and productively? [Please tick the appropriate bracket(s)].

a) More pay [   ]
b) Higher incentive pay [   ]
c) More information relating to your work [   ]
d) Fair treatment by the management [   ]
e) Quicker promotion [   ]
f) More cooperation of fellow workers [   ]
E4. Are you satisfied with the present appraisal system and practices in your organization? (Please tick one)

Yes [ ] No [ ]

SECTION-F

F1. Does your organization use ‘Management by objectives’ (MBO) method? (Please tick one)

Yes [ ] No [ ]

F2. Do you feel that meaningful and time bound targets/ objectives are set for you in key areas of results? (Please tick one)

Yes [ ] No [ ]

F3. Do you feel that you have a say in determination of your targets? (Please tick one)

Always[ ] Sometimes [ ] Never [ ]

F4. Are the goals once set rigidly maintained till the end of the year or are they reviewed periodically as need arises? (Please tick one)

Reviewed [ ] Not Reviewed [ ]

F5. Do you think that MBO system in your organization is being adequately used to take decisions? (Please tick one)

Adequately [ ] Inadequately [ ] Not used [ ]

F6. What do you think, whether MBO system in your organization is successful or not? (Please tick one)

Yes [ ] No [ ]

F7. Is the ‘Self-Appraisal’ system prevalent in your organization? (Please tick one)

-- at Executive level Yes [ ] No [ ]
-- at Supervisory level Yes [ ] No [ ]
F8. Do you agree that self-appraisal leads to leniency in ratings? (Please tick one)
   Yes [ ]  No [ ]

F9. How much lenient attitude you adopt when you are to appraise yourself with regard to the following (Please tick the appropriate bracket(s))

<table>
<thead>
<tr>
<th>Rating Level</th>
<th>No leniency</th>
<th>Somewhat Lenient</th>
<th>Undecided</th>
<th>Moderately Lenient</th>
<th>Extremely Lenient</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Job Knowledge</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>b) Work performance</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>c) Training</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>d) Planning</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>e) Decision Making</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>f) Communication</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>g) Any other (please specify)</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

F10. Do you agree that ‘Self Appraisal’ motivates you to perform better and to take more responsibility?
   High [ ]  Moderate [ ]  Low [ ]  Nil [ ]

F11. Do you think self-appraisal system is successful in your organization? (Please tick one)
   Yes [ ]  No [ ]

F12. Are you aware of the new Annual Appraisal Report forms/Confidential Report forms introduced in the organisation (If Yes), whether changes are making it more objective or biased?
APPENDIX 1.2

INTERVIEW SCHEDULE FOR APPRAISERS
PERSONAL DATA

NAME
AGE

DESIGNATION AND PLACE OF POSTING

LENGTH OF SERVICE

PRESENT SALARY

NATURE OF WORK

______________________________

Joined as ________ (Cadre) on ________ (date) at ________ (Promoted on ________ (date) As ________ (Cadre)

Transferred to ________________ (Place)

Qualifications: Academic ______________ Professional/Technical.

______________________________

SECTION - A

A1. Do you think that the measure adopted by your organization to appraise the performance, are the true evaluators? (If not), what are the defects?

______________________________

SECTION - B

B1. To what extent do you agree to the following statements? (Please tick the appropriate bracket(s). Yes/No

i) Appraisers evaluate the personal loyalty of the subordinate rather than the actual job Performance.

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ii) Appraiser hesitate in rating an individual as 'below average'.

iii) Appraisers believe that a subordinate who is good enough in one thing must be good in other things too.

iv) Personal relationships of appraiser influence his ratings.

v) Likes and dislikes, prejudices of the appraisers influence his ratings.

vi) Last few months before the appraisal date are crucial in influencing the assessment of superiors.

vii) Subordinates are also responsible for making the appraisals subjective by trying to win the favour of superiors.

viii) Appraisers are of the view that only a small percentage of the employees should be rated as outstanding.

ix) Appraisers are of the view that none of the employees should be given negative rating as it affects the productivity of the organization.

x) Negative feedback by superiors:-
   (a) results in frustration in subordinates
   (b) results in job dissatisfaction.
   (c) produces hostility.
   (d) produces resentment.
   (e) results in better future performance
   (f) Results in poor relations of superior and subordinate

xi) Appraisers avoid negative ratings since they have to take work from the subordinates.

B1. Do you communicate the appraisal results?
   [Please the appropriate bracket(s)]
   a) to all [ ]
   b) to poor performers only [ ]
c) to outstanding performers only

d) to none

B2. What are your views concerning the communication of appraisal results to the subordinates concerned? From the alternatives given below with which you agree most? (Please tick one)

a) The appraisee should be told how he has been evaluated - strong and weak points should be fully discussed with him.

b) Only 'remedial shortcomings' should be communicated.

B3. When appraiser gives negative feedback to his subordinate on his performance, he does it in: (Please tick one)

a) Supportive

b) Appealing approach

B4. Do you find any change in the behaviour of subordinates after giving them negative feedback or they don't bother?

B5. Do the subordinates act superficially as though he like you, after receiving negative feedback? (Please tick one)

Yes [ ] No [ ] Can't Say [ ]

B6. Before giving ratings to the employees, on which possible sources of information appraisee rely most. (Please give ranks a, b, c....)

a) Personnel records

b) Appraisee's self appraisal

c) Appraiser's notes on critical Incidents

d) Appraiser's Memory

SECTION C

C1. Rank the measure adopted by your organization to measure the performance of workers (Please give ranks a, b, c....)

1. Work Knowledge [ ]

2. Quality of work [ ]
3. Quantity of work
4. Technical Knowledge
5. Dependability
6. Team work
7. Attendance

C.2 Rank the measure adopted by your organization to measure the performance of technicians (Please give ranks a, b, c,...)

a) Knowledge, Ability and skill in taking down the professional work.
 b) Ability to undertake work independently
 c) Output
 f) Personal traits
 g) Behaviour with superior
 h) Behaviour with peers
 i) Any other (please specify)

C.3 Rank the measures adopted by your organization to measure the performance of managerial/ supervisory staff. (Please give ranks a, b, c ...)

a) Work Knowledge
 b) Planning & Organising
 c) Personality Traits
 d) Managerial abilities
 e) Decision making
 f) Behaviour with superior
 g) Behaviour with peers
 h) Behaviour with subordinates
i) Any other (please specify)  

C.4 Give ranks to the following ‘Managerial Skills’ which you keep in mind while appraising the performance of Managers/ Superiors. (Please give ranks a, b, c ...)

a) Contribution towards work planning and setting up of targets for the department, self and subordinates.

b) Speed and efficiency in decision making and problem solving.

c) Ability to readjust work plan according to competitive demands and the changing needs.

d) Willingness to take calculated risks.

e) Readiness to shoulder higher responsibilities.

f) Contribution towards guiding and motivating his staff so as to improve performance of his department and section.

g) Control in areas where he delegated/ allocated task to his subordinates.

h) Any other (please specify)

C.5 Give ranks to the following ‘Job Skills’ which you keep in mind while appraising the performance of managerial/ supervisory staff. (Please give ranks a, b, c, ....)

a) Knowledge of trends, development and new techniques pertaining to employee’s field of work and specialisation.

b) Assistance in the formulation of policies and specialisation.

c) Development of new ideas, techniques and procedures for improving efficiency and productivity.

C.6 Give ranks to the following ‘Behavioural Skills’ which you keep in mind while appraising the performance of managerial/ supervisory staff. (Please give ranks a, b, c ...)

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a) Sensitivity and tact in dealing with personal problems of peers, subordinates and clients. 

b) Understands people and creates in them enthusiasm for work.

c) Well behaved and respectful towards his/ her superiors.

SECTION - D

D.1 Have you ever attended any training programme regarding performance appraisal? (Please tick one)

Yes [ ] No [ ]

D.2 How far in your opinion the performance appraisal system of your organisation is successful in correctly identifying training needs (Please tick one)

Yes [ ] No [ ]

D.3 Do you feel that there is a need for training the appraiser in judging the performance and potential of their subordinates? (Please tick one)

Yes [ ] No [ ]

SECTION - E

E.1 How far in your opinion, the decisions in the following matters are based upon the performance appraisal results, in your organization. [Please tick the appropriate bracket(s)]

Always Sometimes Never

a) Promotion of Employees [ ] [ ] [ ] [ ]

b) Placement and transfer of employees [ ] [ ] [ ] [ ]

c) Increment decisions [ ] [ ] [ ] [ ]

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d) Identifying training needs

e) Restricting the job responsibilities

f) Selection of executive for special assignments

g) Special recognition of executives for meritorious service.

h) Any other, (please specify)

E.2 Any comments you would like to make regarding the above mentioned and uses of performance appraisal.

a) Promotion of employees

b) Placement & Transfer of employees

c) Increment decision

d) Identifying training needs

e) Restricting the job responsibilities

f) Selection of executive for special assignments

g) Special recognition of executives for meritorious service.

h) Any other, (please specify)

SECTION - F

F.1 Do you agree that the performance appraisal result affects the future performance of the employee? (Please tick one)

High [ ] Moderate [ ]

Low [ ] Nil [ ]

F.2 To what extent in your opinion, the employees improve themselves after receiving performance appraisal results?
F.3 Do you agree that the present performance appraisal system is effective in estimating a person's?

   a) Competence at present job.  Yes/No
   b) Potential for the future.  Yes/No

F.4 To what extent have the performance appraisal results helped your subordinates to: [Please tick the appropriate bracket (s)]

<table>
<thead>
<tr>
<th></th>
<th>to maximum extent</th>
<th>to some to limited extent</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Improving their present performance</td>
<td>[ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
<tr>
<td>b) Improve communication</td>
<td>[ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
<tr>
<td>c) Setting higher goals for the future</td>
<td>[ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
<tr>
<td>d) Their self development</td>
<td>[ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
<tr>
<td>e) Deal more directly with work related problems</td>
<td>[ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
</tbody>
</table>

F.5 How far the following factors are affecting the performance appraisal system in your organization [Please tick the appropriate bracket (s)]

<table>
<thead>
<tr>
<th></th>
<th>Always</th>
<th>Sometimes</th>
<th>Never</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Lack of time on appraiser's part</td>
<td>[ ] [ ] [ ] [ ]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) Lack of time on appraisee’s part</td>
<td>[ ] [ ] [ ] [ ]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) Lack of interest on appraiser’s part</td>
<td>[ ] [ ] [ ] [ ]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d) Lack of interest on appraisee’s part</td>
<td>[ ] [ ] [ ] [ ]</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

SECTION G

G.1 whether your organization use “Management by objectives (MBO)” method? (Please tick one)

Yes [ ] No [ ]
G.2 How do you fix Key Result Areas (KRAs) or Key Performance Areas (KPAs) at all levels?

Yes [ ] No [ ]

G.3 Do you feel that your subordinates have a say in determination of their targets? (Please tick one)

Yes [ ] No [ ]

G.4 Is the MBO system in your organisation successful. (Please tick one)

Yes [ ] No [ ]

G.5 Is the 'Self Appraisal' system prevalent in your organization.

- at executive level Yes/ No
- at Supervisory level Yes/ No

G.6 If yes, what are the dimensions of 'Self appraisal' [Please tick the appropriate bracket (s)]

a) Job/Work Performance [ ]
b) Planning [ ]
c) Training [ ]
d) Decision Making [ ]
e) Communication [ ]
f) Any other (Please specify) [ ]

G.7 Do you agree that 'self appraisal' leads to leniency in rating? (Please tick one)

Yes [ ] No [ ]

G.8 What do you think that 'self appraisal' should be focussed only on important responsibilities or it should cover all of an employee's duties? Why?

G.9 What do you agree that 'self appraisal' motivates the employees to take more responsibility for his or her own performance and growth? (Please tick one).

Yes [ ] No [ ] can't say [ ]
G.10. Do you think that ‘self appraisal’ system is successful in your organization? (Please tick one)

Yes [ ]  No [ ]

G.11. Do you note ‘critical incidents’ of the employees?

Always [ ]  Sometimes [ ]  Rarely [ ]  Never [ ]

G.12. How much weightage is given to these critical incidents while writing the final report of the appraisee? (Please tick one)

High [ ]  Moderate [ ]  Low [ ]

G.13. Is there any other method used by your organization to appraise the performance. Discuss in brief.

G.14. Are you aware of the new Annual Appraisal Report forms/Confidential Report forms introduced in the organisation (Yes/No),?