Review of Literature

CHAPTER – III

REVIEW OF LITERATURE

3.1 Introduction:

The present study deals with the aspect of identifying needs for development and designing development initiatives for managers in the IT companies. PAS is widely debated as a tool/ mechanism to develop individuals. The present business scenario hints at collaborative performance for excellence. The emergence of concepts like 'Total quality management', 'benchmarking', downsizing, reengineering hint towards cost cutting and optimization initiatives by organizations. On the same grounds, optimizing human resource costs by tracking their performance and productivity also becomes a significant agenda for the organizations. PAS, if implemented well is expected to motivate people and put both employee and organization on a development track.

The present chapter deals with various studies conducted on the significance and utility of Human resources in IT Industry and the role of PAS in LD initiatives in IT Industry. The IT industry featured on one side as the largest employment generator faces challenge of high attrition on the other. The identification of development needs and employee development initiatives are critical factors in retaining employees and long term sustenance of the IT companies. No company can grow at the cost of its employees. Particularly, IT companies cannot grow unless their employees grow as they completely rely on the skills and knowledge of their employees. Employees in the IT sector expect their companies to use HR systems to develop them in all aspects. From this point of view, prudent use of PAS to identify development needs becomes important and crucial. How are the PAS in the IT companies? How are they contributing to development initiatives?

The research is in support of developmental use of Performance Appraisal System. As the I.T. firms are providing leadership roles to their managers at very young age, undertaking development initiatives becomes a necessary initiative. This study highlights the relevance of PAS in deciding leadership development initiatives in I.T. firms. The crucial aspect governing developmental initiatives is the needs assessment of each employee that relates the study to PAS.

The study is an attempt to relate managers' perception with actual practice; relating each step in the PAS with employee behavior and considerations required to increase

the effectiveness of PAS towards LD initiatives to justify the investment in such a system.

Considering the objectives of the study, the researcher has tried to review existing literature on PAS and LD and utilize them to gain insight about methods of performance appraisal, the contemporary methods in practice and parameters on which managers are assessed. It attempts to identify innovative appraisal practices aimed at employee development with respect to I.T companies. This is expected to help the I.T. companies and HR professionals to know the present dimension in which PAS are used and the prospects of using it further effectively for employee development. From this point of view, the researcher conducted review of available literature. The chapter concludes by identifying the gaps in the present knowledge in this field.

3.2   Flow of Review of Literature:

The chapter undertakes to explore various books, magazines, newspapers, journals, and theses which have been used to review and build an understanding about background knowledge of existing research. The researcher has followed the process of:

1. **Purpose of Literature Review:**

   To study the previous research studies at international, national and local level in related field of the present study.

2. **Sources of Literature Review:**

   The researcher has referred thoroughly to the given sources in published form in the area of present study:

   i. **Books:** Major books published in the field of present study have been referred to gain conceptual understanding about performance appraisal and leadership development, the methods, frameworks and evidences by authors worldwide.

   ii. **Journals:** Major journals and magazines in the related field were also referred to understand the areas of research undertaken by researchers till date.

   iii. **Theses:** The doctoral theses studying various aspects of PAS since 2010 have also been referred and reviewed to gain different perspectives studied by recent researchers in India.

iv. Websites: The World Wide Web has been extensively used for getting access to global resources in digital form to advance knowledge by getting a wider coverage.

3. Outcome of Review of Literature:

The objective of review of literature is to identify the research gap and that is the outcome of this review. A careful investigation into previous studies has helped to give a direction to the present research work.

3.3   Flow chart giving a glimpse of Review of literature:
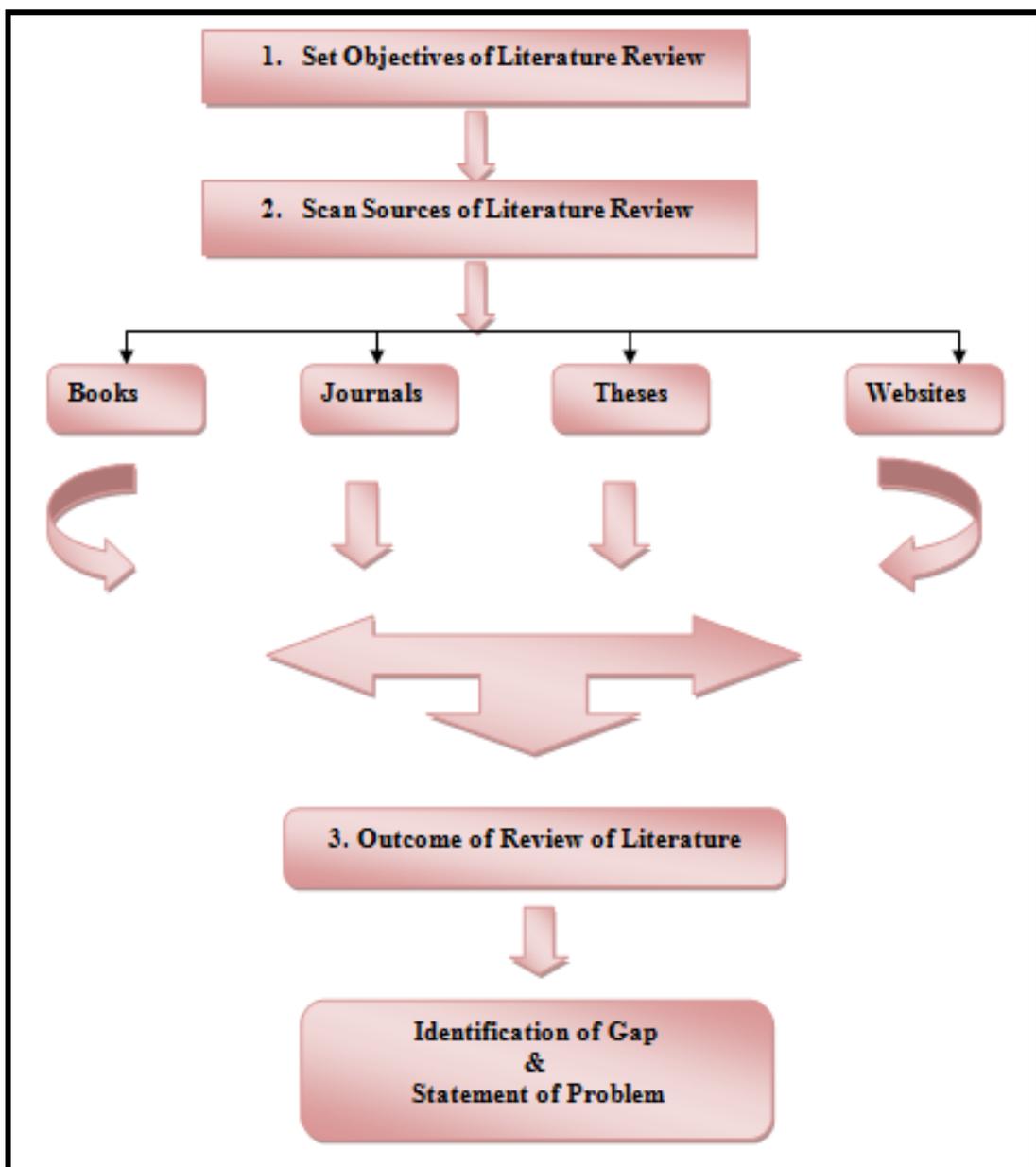
3.4 Purpose of Review of Literature:

The review of the literature has been conducted with the following purpose:

(1) To know how various authors, researchers, research agencies and experts have studied PAS and LD. What were the objectives and findings of their studies?

(2) To develop an understanding about existing theories; contemporary developments in PAS and LD initiatives.

(3) To understand major problems highlighted in implementing PAS for developmental purpose; the remedies suggested and the extent to which they have been implemented.

(4) To examine the current status of PAS in IT companies; major problem faced and how IT companies look at PAS for employee development.

3.5 Review:

The Indian IT industry can be called a remarkable success story as it grew at a compounded annual growth rate of 30% throughout two decades from 1998-2008. The industry is known for its export revenues contribution and ability to generate high employment opportunities. The information technology industry in India comprises of different players Large; mid-sized; emerging and small companies as seen in figure 3.1 below:

Figure 3.1: Company Classification based on revenue contribution
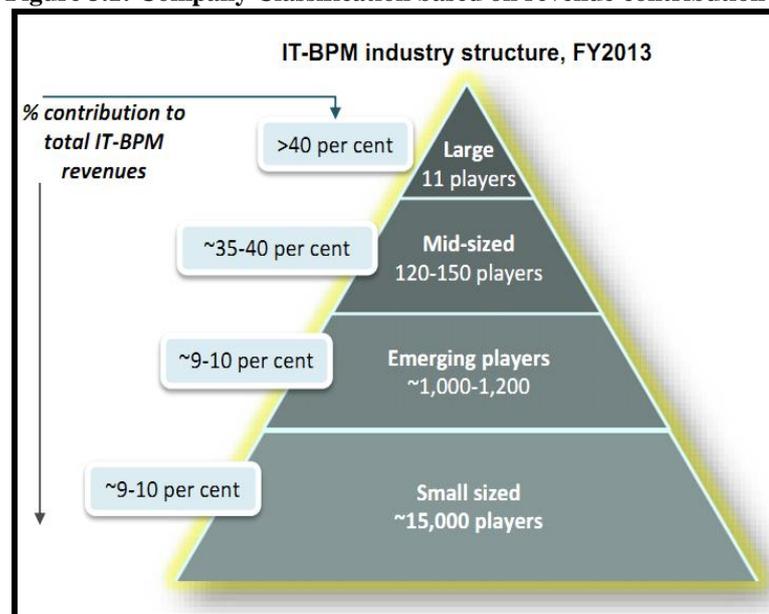
Source: NASSCOM Overview, 2013

Legend:
Large Companies: Revenues > USD 1 Bn
Medium sized Co. : Revenues between USD 100 Mn to 1 Bn
Small sized Co. : Revenues between USD 10 Mn to 100 Mn
Emerging Co. : Revenues < = USD 10 Mn

It can be observed that the number of players are minimal in the large segment but contribute to maximum proportion of the revenues whereas an almost equal proportion of revenues is contributed by the mid-sized players followed by emerging and small players.

Further, the Large Integrated Players (Indian and MNC's) are employing more than 30% employees collectively followed by the mid-sized players (Indian, MNC's and Captives) employing 35% of total workforce and Emerging and small players comprising of 35% workforce of IT sector.

The success story brings curiosity to know how the industry originated in India. **Sharma (2009)** [96]traces history of India's IT Industry and software revolution from its humble origin to the outsourcing boom post the year 2000 and identifies government's role during various five year plans; higher technical educational facilities; entrepreneurial spirit; presence of multinational companies as factors that led to the growth of the IT industry in India. The book provides insights about how the Indian software industry evolved as India had quality engineers; the contribution of satellite based data communication links in exponential increase of software exports and the establishment of Software Technology Parks of India (STPI) which provided duty free spaces for software development further boosted the industry. The researcher got useful information on landmark developments in the industry and the premises for its sustenance to maintain its competitive edge.

As identified earlier, the availability of technical professionals was one of the critical success factor that fuelled the growth of Indian IT industry whom **F.C. Kohli (2005)**[97] calls as most important resource and change agents in the information era. He identifies availability of people with requisite skills, knowledge and abilities, as a critical problem related to IT Industry. The reasons for shortage of right calibered

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[96] Sharma Dinesh (2009) The Long Revolution: The Birth and Growth of India's IT Industry, Harper Collins, New Delhi

[97] Kohli F.C. (2005) The IT revolution in India, Selected Speeches and Writings, Rupa & Co., New Delhi

people are attributed to neglected training, especially in project management and communication skills. Case studies demonstrating the best practices and human resource development through training; education and development are suggested as a practical approach to learn handling of large projects to develop technical and behavioral expertise. Training is also identified as critical for developing behavioral skills like interpersonal and communication skills; overcoming resistance to change; good listening skills; cultural and moral humility.

Upadhyay and Vasavi (2008)[98] bring out the little known facts about people working in the Information Technology and IT Enabled Services industries in India. The book presents a set of studies that focus on nature of work; social and cultural ramifications and examine the IT industry from anthropological perspective. It provides an in-depth analysis of complexities in the industry; work culture in organizations and their impact on employees. The authors claim that although the IT industry has received academic attention, little research has been undertaken from the sociological perspective.

National Association for Software and Services Companies (NASSCOM) in its **Strategic Review (2010)** identifies IT workforce development as one of its strategic objectives for expanding the quantity and quality of the talent pool in India. NASSCOM's Assessment and Competence (NAC) is a certification framework introduced as an initiative to ensure quality professionals by helping universities develop industry ready talent. In the new millennium, changing trends are giving access of global opportunities to employees in IT companies established in Tier II cities which bring concern for development of these employees. The facts stated above bring the significance of understanding the nuances of human resources management in the IT sector.

The realm of human resource management (HRM) includes various strategies designed by companies for managing people. **Armstrong and Baron (2008)**[99] emphasize on creating a HR strategy and suggest different approaches and models to assist strategy development for people management & development. In the context of the present study, the researcher gained understanding about significance of a HR

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[98] Carol Upadhay and A.R. Vasavi (2008) In an Outpost of the Global Economy: Work and workers in India's Information Technology Industry, Routledge, New Delhi

[99] Michael Armstrong and Angela Baron (2008) Handbook of Strategic HRM, Jaico Publishing House, Mumbai

strategy and how it can significantly contribute when integrated with organizational and functional strategies.

Becker et al. (2001) [100] suggest **a HR Scorecard** as a mechanism to measure effectiveness of HR strategies to manage the strategic assets and put forth its benefits in analysing cost benefit of HR interventions; measure HR alignment and design the competencies for HR professionals. This recognizes the significance of Human resource development (HRD) for organizational success.

Rao (2012) [101] attempts to evaluate the impact of HRD function on business success by conducting an **HRD Audit**. The methodology includes examining the adequacy and appropriateness of existing HRD systems; tools and techniques for internal HRD audit and a scorecard to assess the maturity level of the system. The present study also looks at Performance Appraisal System as a HRD and seeks to evaluate its impact on employee development. .

In the I.T. companies, nature of job has unique dimensions that affect performance of a manager and PAS becomes a controversial process involving problems like conflicts due to inappropriate assessments for which **R. K. Sahu (2007)**[102]**,** the founder director of HRD Centre, New Delhi, advocates assessing contextual factors like nature of tasks to reduce performance problems.

Performance Appraisal System generates information for rewards, shareholder value and employee development as per **Singh (2010)**[103] who introduces benchmarking, Six Sigma, Competency mapping, Balance scorecard, Coaching; Mentoring and Job analysis as methodologies linked to developmental purpose of Performance Appraisal and building a performance culture.

Kohli and Deb (2008) [104] introduce the concept of ePMS and its use for developmental use to enhance job performance. Further, **Rao (2008)** [105] accentuates

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[100] Becker Brian E., Huselid Mark A. and Ulrich Dave (2001) The HR Scorecard, Harvard Business School Press, Boston ,Massachusetts

[101] Rao T.V., (2012) HRD Audit, Sage publications, New Delhi

[102] Sahu R. K., (2007) Performance Management System, Excel Books, New Delhi

[103] Singh. B.D., (2010) Performance Management System: A holistic Approach, Excel Books, New Delhi

[104] Kohli A.S. and Deb Tapomay, (2008) Performance Management, Oxford University Press, New Delhi

on potential use of technology to gain time savings for manager and juniors and created an 'Annual Performance Index' (API) with the use of technology. He concludes that use of API and IT would make assessments acceptable; enhance participation, bring transparency and reduce administrative costs. He recommends ownership of PMS by line managers facilitated by HR for fulfilling developmental needs.

In relation to the present study, the researcher recognized:

i. 'People' are very important resource for IT industry and its success in India.
ii. The Human Resource Management is a critical function in IT Industry
iii. The global nature of IT workforce requires distinct Human Resource Development approaches to be undertaken
iv. Performance appraisal, as an HR tool, has potential for employee development planning through assessment of contextual factors

Rao (2012) [106] also introduces performance appraisal as a **HR tool for global competitiveness** and explains significance of 'Performance Analysis' [assessment of contextual factors] for performance development. He also introduces the unique dimension of team appraisals discussed earlier by **Rudman (2007)**[107] to understand challenges faced during the process of performance management in a team setup as found in IT companies.

Anton Beletskiy (2011) [108] in his thesis explores factors affecting employees' perceptions to Performance appraisal through a multiple case study approach of industrial services and logistics industries in Dubai and Shanghai. The study revealed that relationship between factors and employees' perception is complex than initially assumed as some factors seemed likely to explain others.

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[105] Rao T.V. (2008) "Lessons from experience: A new look at Performance management Systems" Vikalp Vol.33(3)pp 1-15

[106] Rao T.V. (2012) Performance Management and Appraisal Systems: HR tools for global competitiveness, Sage Publication, New Delhi

[107] Rudman Richard,(2007) Performance Planning and Reviewing: Making Employee Appraisals Work, Allen and Unwin, Australia

[108] Beletskiy Anton (2011), "Factors affecting Employees' perceptions of the Performance Appraisal Process", Hankel School of Economics, Helsinki

> In the context of the present study, the thesis considers employees' perception on extent to which PAS is contributing in employee development.

Somashekar (2014)[109] seeks to assess the qualitative and quantitative functioning of Performance Appraisal System by studying appraiser and appraisee opinions about performance measurement in private and public companies in Mysore district.

The study revealed that supervisors feel that they used participative conversation techniques in periodic reviews but found themselves hard pressed on devoting time to identify for employee needs. If managers are to be held responsible for subordinate's productivity, then managers 'counseling and guidance skills' should be linked to their profit share and bonus.

The study revealed training as an important activity in public sector rather than the private sector whereas employees in private sector are found initiating self development.

> For the present study, this thesis provides insights on developmental purpose of performance appraisal but the geographical area; purpose and organizations under study vary.

Uchgaonkar (2011)[110] studied the **Performance appraisal systems and practices with respect to supervisory/managerial level in and around Pune** found objectives of PM same in all organizations but practices and procedures differed. Performance Appraisal System was identified as a tool for communicating the top management's plans to employees in almost all the selected organisations with one or two exceptions. Performance Planning and Performance Review stages in the PAS were quarterly and had multiple uses to make PAS effective. The organizations were found using forced distribution to keep employees motivated and to retain them. He

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[109] Somashekar M.P .(2014) A study on the Performance Appraisal System in selected industries of Mysore district, University of Mysore, Karnataka

[110] Uchgaonkar M.V. (2011) A Study Of The Performance Appraisal Systems And Practices Followed By Select Organizations With Special Reference To Supervisory/ Managerial Level, University of Pune, Maharashtra

concluded that organisations were keen on administering and practicing Performance Appraisal System for Supervisory / Managerial level to bring out employee development through training.

This study focuses on studying Performance appraisal system and practices in organizations representing different industries. The study has similarities with present study as it studies the managerial level employees in Pune area. Present study also studies managerial employees of Pune area but in a different industry i.e. the IT Industry with a different context of PA.

Gurav A.M (2012)[111] designed a computer based Performance Appraisal model/ format for Manufacturing, Trading and Service providing businesses in Kolhapur, Maharashtra. The researcher identified inexistence of PAS which created problems for the HR departments in these firms and designed the formats to suit their local needs for all levels of management. The formats include rater and ratee's attitude, awareness and other attributes in the PA formats.

The study under review varies in context; purpose; geographical area and justifies the need for the present study.

Sharma (2009)[112] critically evaluated the effectiveness of PAS for various HRM decisions like incentives, promotions, wages, transfer, training and development through **Case study of five units in Haryana**. Attributes evaluated, self appraisal and MBO system as a part of PA practice were studied through appraisee and appraiser opinions. The study revealed appraisee's awareness of PAS and its utility to carry out tasks. The appraisers gave priority to memory over 'notes on critical incidents' for performance information which reinstated belief in the 'recency effect' in assessment. Appraisers avoided negative rating to avoid conflicts; used counseling as most preferred method for performance improvement. 'Self appraisal' was applicable to managerial staff only and appraisal data was being used for increment decisions;

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[111] Gurav A.M. (2012) An analytical study of performance appraisal system for employees with special reference to Kolhapur based business units, Kolhapur University, Maharashtra

[112] Sharma Deepak (2009) A study of PAS in heavy engineering industrial units with special reference to selected heavy engineering industrial units of Haryana, University of Pune, Maharashtra

training needs identification and hence the study concluded that PAS was effective in improving the performance.

> The study under review can be distinguished from the present study on the basis of geographical area, purpose of PAS and respondents profile. This justifies the need and relevance to conduct the present study.

Earnest (2009)[113] benchmarked broad elements of performance appraisal system of L&T Infotech with other I.T. (HP, Cognizant, Wipro, TCS, Satyam and Infosys) and non IT companies and presented extent of similarity and scope of improvement. The study revealed use of customized PA software ('PRAGATI') at L&T Infotech and concluded that appraisal procedures followed in IT and non-I.T companies were different and lack of transparency in PA leads to lack of motivation and disharmony in employees. The study recommended establishing KRA and KPI based goal setting at L&T Infotech, combination of methods of assessment and increasing the number of appraisers to reduce biases.

Virani (2012) [114] attempts to conduct an inductive and deductive analysis of qualitative and quantitative data on PAS of five IT companies (Z S Associates, TCS, Infosys, IBM and Patni) from **Pune region.** The data was collected on criteria's like process of communicating performance standards, feedback mechanism, performance review process, clarity and transparency of PAS. The findings suggest:

- 'Results and core competency' are given weightage while appraising employees;
- Process of communicating standards and feedback mechanism were found to be 'Very good'.
- 'Dissatisfaction regarding transparency and clarity of PAS at Patni Computers was reported.

Sanyal and Biswas (2013)[115]**,** explore the importance of line managers in PA practice in software companies of Kolkata, West Bengal. The authors identify manager's

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[113] Earnest Archana (2009) "Examining the best practices in Performance Appraisal" accessed from www.wbiconpro.com/23-**Ernest**-India-Latest.pdf

[114] Virani, S.R.(2012), An Analytical Study of Performance Appraisal Systems of selected Information Technology enabled Services Companies, Zenith International Journal of Multidisciplinary Research,Vol.2,5, 2012, pp 135-145

[115] Sanyal M.K. and Biswas S.B.,(2014) "Employee motivation from Performance Appraisal

dilemmas and employee issues dependent on company size & business focus. The study finds practice of appraisal and its implications diverse in different companies; a variance in frequency of appraisals across the industry; frequent assessments due to project culture in MNC's; attrition of employees just before and after performance assessment cycle in SME's making the whole effort unjustified. MNC's and big Indian multinationals were found using sophisticated techniques of appraisal like MBO, 360 DF and forced distribution whereas SME's were found using traditional supervisor appraisal along with formal peer and self evaluation. Severe objections by line managers towards bell curve implementation confirmed adverse effect of PA on motivation as appraisal was a continuous process having active involvement of line managers. The researchers recommend self development by involving the employee and building an OCTAPACE culture for accurate and bias free rating by raters.

Singh and Sidhu (2011) [116] identify use of online system called **Human resource management system** (an oracle developer 2000-based tool) for performance appraisal in their study of 'Talent management' by **Tata Consultancy Services.** Their study on PA practice found use of performance feedback every two months for entry level employees; method of appraisal was based on Balance Score Card; encouragement to regular informal feedback discussions between project leaders and team members and appraisal results were linked to retention and retrenchment.

Singh and Agarwala (2003) [117] discuss the difficulties of managing employee performance in knowledge intensive software services sector. This paper delves into role of line managers in performance management and highlights issues like competency management, expat performance management and expectations of software professionals from PMS. The study revealed that employee performance was contingent on factors beyond the individual's control like client requirements, newness of technology, project schedules, onsite-offsite team coordination and project leadership. Findings of the study communicate the multiple task interdependencies, synchronization of geographically dispersed teams and a PMS design for HR

Implications:Test of a theory in the Software Industry in West Bengal" presented at SIMSARC , published in Procedia Economics and Finance Vol.11, pp182-196

[116] Singh Lakhwinder Kang and Sidhu Harpreet (2011) "Talent Management at Tata Consultancy services" ,Global Business Review, 12(3) pp 459-471

[117] Singh A and Agarwala.T (2011) "Software Services Industry Context and Performance Management", Vision, Sage Publications Vol.15(1) pp 49-59

advantage. The researchers recommend supplementing the PMS (for task related performance) by a multisource feedback to provide forum for developmental interaction and strengthen the role of project managers by investing in project leadership and management; a project specific review; real time feedback and focus on developmental aspect of performance appraisal for greater acceptability particularly when Indian companies are competing in international markets.

Singh (2012) [118] studies PM practice; challenges in design and implementation and outcomes of PMS in four Indian software services multinational organizations in NCR region. The survey of the HR managers revealed issues like inadequate time devoted by line managers for assessment; lack of cooperation; need of periodic reviews & feedback and training for 'difficult discussions'. He recognizes the success of PMS in the manager's ability to make understand the PM process flow to their team members. The author suggests focusing PMS on short term human capital development and long term performance improvement; use of performance data for 'person-role fit'; Integration of subsystems for best results and training HR in project management and software development to facilitate line managers on people related issues.

Shiv Prasad and Saur (2010) [119] studied the performance assessment procedure of software professionals (SPs) of 8 Indian software firms and found that team leaders assessed the performance of software and senior software engineers on 16 competencies across six dimensions namely work-efficiency, personal resourcefulness, inter- and intra-personal sensitivity, productivity orientation, timeliness, and business intelligence.

The study concluded that experienced and high performing SPs had higher need for achievement and higher need for social power. The data on the six dimensions could be used by HR for training, reward administration, job rotation, and promotion decisions. The authors also suggest a behavioral instrument to assess the performance of Indian software professionals.

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[118] Singh Anupriya (2012) "Performance Management System design, implementation and outcomes In Indian Software Organizations: A perspective of HR Managers" South Asian Journal of Management Vol.19 (2) PP 99-120

[119] Shiv Prasad H.C. (2010) "Performance Assessment of Indian Software Professionals "Journal of Advances in Management Research Vol.7 (2) pp 176-193

Jakhar et al. (2012) [120] identify Human Resource Management System (HRMS) as an inseparable part of HRM and confirm the use of automated performance appraisal systems to maximize return on talent investment (ROTI). They propose a multi aspect (skills, knowledge, regularity, effectiveness, coordination and administration) employee evaluation model for a software company to track, evaluate and rate employee performance through a mathematical model in an automated system. The 'template' was linked to Iris image [biometric of eyes] for employee attendance record for salary calculations in the organization.

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[120] Jakhar Y.K., Shiwani Savita, Hemrajani Naveen (2012) "Employee Performance Appraisal System and Use of Iris Biometric System in Human Resource Management System", International Journal of Scientific and Research publications, Vol.2(2)

Salient Observations from review of PA studies undertaken in various I.T. companies in India are:

1. Difference in PA practices in MNC's and SME's in the IT sector

2. Expectations from PAS conflicted between HR managers and line managers

3. Experienced software professionals had higher needs of achievement and social power calling for holistic performance evaluation

4. The performance assessment should be done by combining different methods and using multiple appraisers.

5. Minimal agreement on effect of PAS on employee motivation and majority inclination towards change in existing PAS

6. Introduction of the OCTAPACE culture in PA for employee motivation

7. Use of HRMS and electronic/automated PM modules for continuous feedback and identifying training needs

8. Consideration for contextual factors like client requirements, newness of technology, project schedules, onsite-offsite team coordination, project leadership while assessing performance of software professionals

9. Project specific reviews, real time feedback and focus on developmental aspect

10. Use of Multisource feedback for developmental initiatives

11. Multi aspect and automated evaluation to maximise Return on Talent Investment

The researcher also reviews some studies focusing on development aspect of performance appraisal:

Abhigyan (2010) [121] highlights the assessment of behavioral competencies in the appraisal signifying importance of contextual performance along with task outcomes. The Behavior assessment based on 'competency model' is expected to improve employee performance by bringing necessary change in employee behavior. The researcher proposes the **Blind choice method** to reduce the errors in competency based behaviour assessment. The model suggested a division of positions based on competencies required; defining the behaviors as 'core' and 'peripheral' competencies; assigning weights to the competencies; maintaining anonymity for appraisers about weights assigned to competency; use of a 6 point Likert scale for rating to ensure commitment to positive or negative and conversion of ratings into scores by HR. The author assumes utility of the proposed method in reducing employee dissatisfaction about the PA process.

Dexter Hansen (1984) [122] critically analyses the PA format of a 'corporation' as a tool for organizational development and employee career development and suggests inclusion of the development plan in appraisal to increase performance backed by results of an employee attitude survey. The PA format with developmental plan introduced was again studied for effectiveness. Researcher found that Appraisal met multiple objectives and the 'Development Plan' provided an opportunity for 'employee comments' but overlooked career planning with no mention of such an aspect in assessment criteria's. The researcher concluded that PA format was more focused on employee's current job rather than career development as findings about PA format revealed: no provision for mentioning career expectations; absence of self assessment discouraged performance discussion and no provision for opportunity to self nominate for training programs.

George Sillup (2006) [123] explored the relationship between performance appraisal and development of inspired business leaders in Fortune 100 companies in US. The

[121] Abhigyan,(2010) "Behavior assessment in performance Appraisal: Significance and Trends", Foundation for Organizational Research and Education Vol.27(4) http://www.freepatentsonline.com/article/Abhigyan/227355994.html accessed on 17-6-2014.

[122] Dexter Hansen, (1984) Developmental Performance Appraisal: An analysis of Relevant Literature, MBA thesis, Mankato State University, Minnesota

[123] George Sillup,(2006) "A Qualitative Exploration of the Relationship Between Performance

study found PA attributed 'success' to outcomes/results rather than behaviors leading to such outcomes/results and depended on top down support for its successful implementation. PA was found to have a potential to influence development of business leaders but 'time constraints' and 'training managers to conduct PA' impaired the development. One interesting observation was the managers responding as appraisers did not suspect bias in PA but two of the same managers suspected bias as appraisees.

Gupta et al. (1999) [124] attempted to test the impact of 'subsidiary task' and 'organizational context' on feedback seeking behaviour of presidents of multinational Corporations. The study found presidents' feedback seeking behaviour (observation and inquiry) varied in extent and was partially systematic.

Fleet et al.(2005)[125] suggest use of **'Expert Systems'** (ES) along with existing tools of social learning, education and training to overcome barriers faced while giving feedback for employee development. ES provide the 'best practice advice' for solving problems by facilitating just in time knowledge of rules and become source for providing feedback in a cost effective manner. Appraisal software from Halogen software, Performaworks by Workscape; Empextrack are identified as HR expert systems, which may be either bought; developed 'in house' on company intranet or subscribed as internet based system. The researchers recommend ES as a potent tool for managers to close the feedback gap.

Lueke (2006) [126] identifies managing performance as a 'core skill' in managers and suggests that managers should practice goal setting, reviews, pay and promotion decisions in a linear progression where as motivation and coaching should be ongoing activities. This provides the **link between PAS and leadership development as motivation and coaching are traits demonstrated by leaders/ managers.**

Appraisal and the Development of Inspired Business Leaders"

[124] Gupta A.K., Vijay Govindarajan, Ayesha Malhotra, (1999) "Feedback Seeking Behavior Within Multinational Corporations", Strategic Management Journal , 20, 1999, pp 205-222

[125] David Van Fleet, Tim O Peterson, Ella Van Fleet, (2005) "Closing the Feedback Gap with Expert systems" , Academy of Management Executive, Vol.19 (3) pp 38-53

[126] Richard Leuke (2006) Performance Management: Measure and improve the effectiveness of your employees, Harvard Business Essentials, HBS Press, Boston, US

Salient observations of studies conducted on developmental aspect of PA reveal following dimensions:

1. The segregation of evaluating and developing purposes of PA by immediate superior did not prove effective suggesting the inclusion of supervisors manager to get positive results from PA

2. Use of Behavior assessment on competency models for bringing change in behavior

3. Existence of a development plan in PA format but no connection with career development

4. Training employees on behavioral aspects was perceived to result in 'accuracy and fairness' by both appraiser's and appraisee's

5. Constraints of 'time' and 'training to appraisers' were identified as hurdles in PA to influence development of business leaders.

6. Feedback seeking behavior varied in parent and subsidiary company as organizational context changed

7. Use of artificial intelligence systems (Expert Systems) by managers to overcome barriers to feedback that inhibit them from giving honest feedback

Leadership:

Leadership is a process of influencing the behaviors of others. Contemporary organizations are increasingly recognizing importance of leadership demonstrated by line managers as it has arrived as a shared responsibility across the organization and increasingly becoming group centric.

Leadership and its development have gained a greater significance in the globalized and liberalized world. Globalization has bought the sudden change from a domestic to global business of Indian industries in general and IT industry in specific.

BTI Consulting (2015) [127] reports a trend of Indian managers being preferred for global leadership roles. The Global expansion of Indian IT corporations is moving managers in global roles and increasing their aspirations. Indians are preferred as leaders globally, especially in Europe than US as they are found multifaceted, the scale at which they operate, their ability to stretch and work hard along with intellect and academic backgrounds. Indian managers have technical competence over management skills and their jobs require them to lead workforces by adopting greater participative and social styles in globalised environment. This expects managers to demonstrate capabilities to expand business performance globally without giving any opportunity for experiential learning.

According to **David Everhart** [128] Managers require matching leadership style to suit the context and culture where they operate which creates the need of accelerated leadership development cycles**.** The LD approach is expected to identify high potentials to maximise middle management potential and invest in them to develop a leadership pipeline. The researcher recommends that development model should identify future leaders through coaching; mentoring and formal training for skills building, 'exposure to people' (challenging assignments) for experiential learning without over focusing on formal training.

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[127] BTI consulting firm : " Indian talent sought for global leadership" , Business Standard dated 18-5-2015 Korn /Ferry International, Asia

[128] David Everhart (2007) An interaction with The India CEO forum: LD solutions at Korn /Ferry International, Asia

Shekhar (2011)[129] studied the leadership styles of managers in the software industry and found a 'Consultative Style' of leadership driven by relationships. The researcher noted an 'Impoverished Management' style of getting work done by exerting minimum effort existing among lower level managers. The study concluded that leadership styles of managers were dependent on follower readiness for being effective.

Dwivedi and Choudhary (2011) [130] also studied leadership styles of managers in three prominent Indian IT companies having global operations and found dominant and desirable leadership style in IT sector to be the developmental style. The researchers note developmental style to be associated with creation of empowerment, growth, learning, morale and satisfaction on the part of employees. This emphasises LD programs to focus on enhancing developmental style of leadership.

A **Mercer (2014)**[131] study revealed only half of the companies in Asia Pacific region having a defined leadership development strategy with limited execution only at senior and global level. Company's were found investing less in development of middle and frontline mangers which shows a failure to target interventions for development of tomorrow's leaders. Further, ineffective use of individual development plans in the appraisal formats convey very few companies hold managers responsible for developing leaders. The survey also highlighted frequent use of class room training, IDP's and challenging opportunities over other methods like coaching, mentoring, action learning and defined career paths for leadership development.

The Global Human Capital Trends (2014) [132] of developed and developing economies conveys 'urgent' need to develop leaders in the knowledge industry, as knowledge doubles every year and skills have a life of 2.5 yrs. to 5 yrs. The study

[129] Shekhar H.S. (2011) "An Analysis of the leadership styles prevalent in the software industry in India" Article no.1321, faculty column pg-14.
http://www.indianmba.com/Faculty_Column/FC1321/FC1321a/fc1321a.html

[130] Dwivedi Harsh and Choudhary Smita (2011) " Leadership styles of Managers of Top IT Companies" Indian Journal of Training and Development Vol. xxxxi (2) 2011

[131] Mercer Report on Asia Pacific Leadership Development Practices Study (2014),
http://www.mercer.com/insights/focus/asia-pacific-leadership-development-practices-study.html

[132] Global Human Capital Trends (2014) Engaging the 21st Century Workforce, Delloite Consulting

reports modest increased investment in talent development and conveys that leadership development in the knowledge industry is driven by 'Expectations of workforce' and 'Technological and innovation challenges' faced by businesses.

Agarwal et al. (2006)[133] in their study of problems faced by the software industry found managing knowledge workers; first time leaders (technocrats becoming leaders) and pain of giving performance feedback as 'critical problems' which sets the context of leadership development in the software industry and establishes the need for assessing and developing leaders in IT industry.

S. Manikutty (2003) [134] explores and finds organizations in the knowledge economy looking at developing managers into leaders at all levels through conceptual and experiential training having a 'limited impact'. The researcher proposes internal development on behaviors for a long lasting impact for leadership development. The study recommends dispassionate self assessment and self realization of strengths and weaknesses for manager's self development.

India is experiencing rapid technological changes and a global business environment. The War for talent has lead to a leadership crisis according to **Wilson and Hoole (2011)** [135] The study suggests **'Learning from experience'** through challenging assignments; developmental relationships; adverse situations/ hardships and personal experiences for developing leadership. Further, the researchers suggest changing focus from 'Leading self' to 'lead the business'; 'leading others' and 'Leading business'. This emphasizes on realizing the specific needs of managers for development.

Keytes De Vires and Korotov (2010)[136] identify the need of distributed leadership in knowledge based companies at different levels. The study finds use of 'corporate universities' for continued education for possessing range of abilities and experiences

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[133] Agarwal Narendra, Ramesh Narayanswamy, Rashi Ratan, and Renuka Devi (2006) "Leadership Challenges in Indian software industry" IIMB Working paper, 2006

[134] Manikutty S. (2003) "From a Manager to Leader: Bridging a gulf or Jumping a Chasm?" Vikalpa, vol.28(4) pp 53- 61

[135] Wilson Meena Surie and Hoole Emily (2011) "Developing Leadership: India at Crossroads", Vikalpa,Vol.36 (3)

[136] Keytes De Vires and Konstantin Korotov (2010) "Developing leaders and leadership development" Working paper, Critical writings on Business Management: Leadership Development, an anthology on leadership development, INSEAD working paper collection.

for Leadership development. The researchers suggest conceptual understanding of leadership and practice of leadership skills through self assessment, action learning and apprenticeship activities a 'toolbox' of initiatives in the form of classroom lectures, leadership exercises, outdoor training, case analyses, simulations and 360 degree evaluations.

Charan et al. (2010)[137] also observe that organizations need to invest in development of leaders internally to reduce the 'leadership deficit' existing currently. They propose building leaders rather than buying them through their 'crossroads model'. The lack of development opportunities on account of cost cutting strategy of organizations results in tactical 'strategy' of hiring people from outside. Their model as seen in the figure 3.2 suggests building capabilities [by building skills, training leaders in time applications and work values] at different transitions (passages) to change the managers 'perspectives' to sustain and grow business at global level and integrate 'Leadership development' with business strategy.

**Figure 3.2: Leadership Development Model**
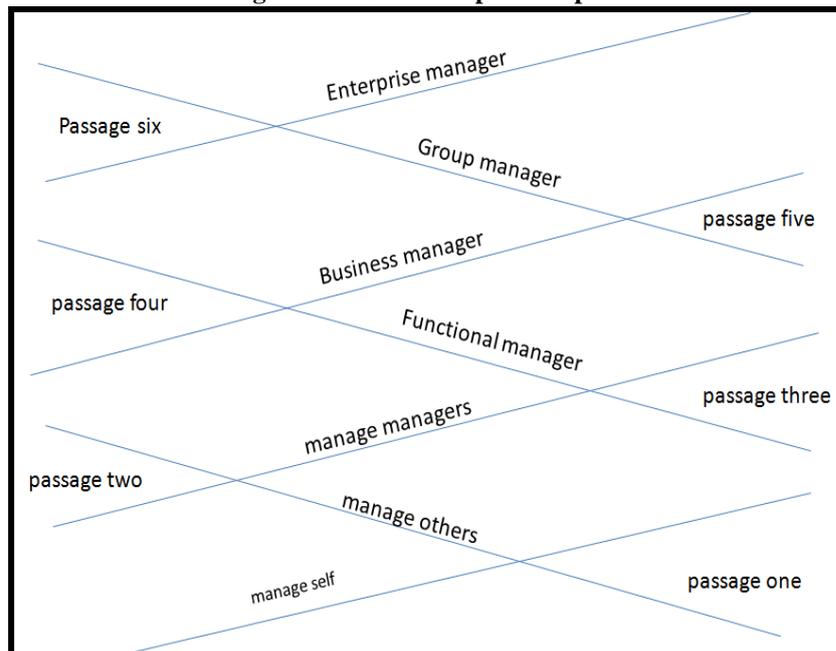
Source: The Leadership Pipeline: How to build the leadership powered company, by Charan et. al. (2010).

White and Prywes (2008)[138] in their book suggest the 'leadership pyramid' model for developing leadership shown in the figure below:

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[137] Charan Ram, Drotter Stephen, Noel James (2010) The Leadership Pipeline: How to build the leadership powered company, Jossey Bass, New Delhi

[138] White Joseph and Prywes Yaron (2008) The Nature Of Leadership Prentice Hall of India, New

Figure 3.3: Leadership Pyramid
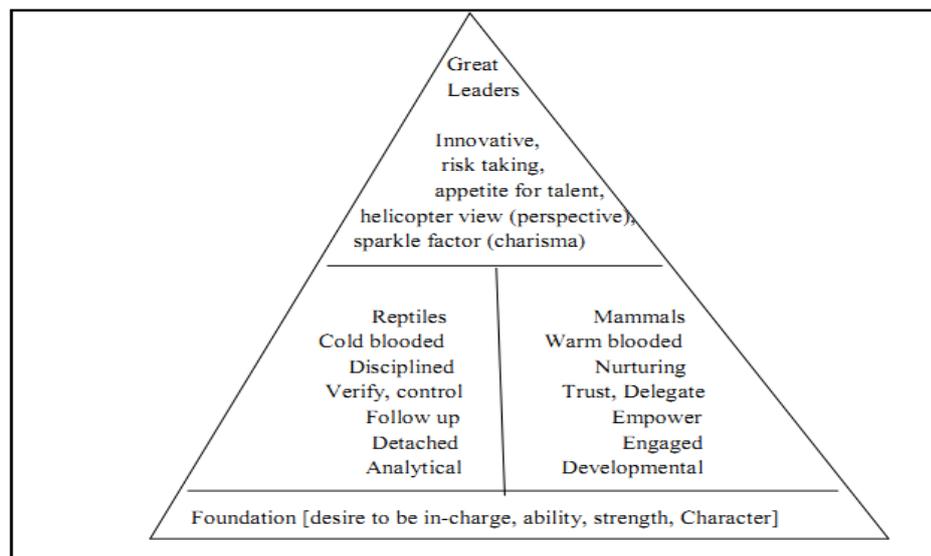
Source: The Nature of Leadership by White and Prywes (2008)

The model proposes developing reptilian and mammalian characteristics for developing great leaders to survive the current competitive environment and thrive in long run. The researcher gained insight into various attributes required for balanced leadership development.

The recognition of 'Talent' as critical differentiator and source of competitive advantage for organization success in IT industry emphasizes the significance of its management and development.

Conaty and Charan (2011)[139] call for companies to become 'Talent masters' by realizing significance of talent; role model the process of development; invest time in identifying high potentials and give them feedback; establish a performance culture by defining values explicitly; measure performance as per goals and increase learning and recognize the importance of leadership pipeline. They identify General Electric (GE), Procter and Gamble (P&G) and Hindustan UniLever (HUL) as 'Talent masters' having philosophy of continuous and long term development; processes and tools for leader growth.

Delhi

[139] Conaty Bill and Charan Ram (2011) The Talent Masters: Why smart leaders put people before numbers, Random House Business Books, Australia

John Adair (2011)[140] a British writer gives a practical view to develop leadership at Team; Operational and Strategic level. In the seven principles suggested by the author; **Selection of candidates** is suggested to be based on assessment of leadership competencies like Teamwork ability; Decision making ability; Communication ability; Self management ability and Personal qualities and contextual learning by linking theory to practice.

Leskew and Singh (2007) identify: A thorough needs assessment; selecting suitable participants; design of appropriate infrastructure; design and implementation of the learning system; an evaluation system and corresponding actions to improve on deficiencies as factors vital for effective leadership development.

The realization of the fact that present managers lack experiential learning brings the focus on initiatives undertaken for Leadership development.

Marcus (2004) [141] finds a transition towards customized, interactive learning programs with business context combined with developmental relationships and duly supported by participant feedback.

Behavioral competencies have become a language to describe 'how' a manager performs.

Chabra and Raina (2013)[142] attempt to identify competencies in the knowledge driven context and find Collaboration across networks; No lead time planning; strategic vision and motivating people towards it; empowering employees; valuing and utilizing diversity, managing virtual teams, emphasizing ethical practices, self awareness and interpersonal skills; challenging the status quo and creativity as critical competencies required by leaders.

Carter et al.(2005) [143] in their research of best practices institutes found use of 'Program method' based on explicit behavioral competencies models and assessment

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[140] Adair John (2011), Lexicon of leadership: The definitive guide to leadership skills and knowledge, Kogan Page Ltd. New Delhi

[141] Marcus, M. (2004) Preparing High-potential Staff for the Step Up to Leadership. Canadian HP Reporter,17(18) pp.11-12

[142] Chabra and Raina (2013) "Leadership Competencies In The Knowledge Driven Context", LBS Journal of Management and Research, www.indianjournals.com accessed on 10-5-2013

[143] Carter Louis, Ulrich David, Marshall Goldsmith, Eds. (2005) Best Practices in Leadership Development and Organization Change: How the best companies ensure meaningful change and

metrics for leadership development. The program was supported by 360 DF for self awareness and strong top management support. The methodology of LD included six phases as shown in the figure 3.4 below:

Figure 3.4: Phases of Leadership Development
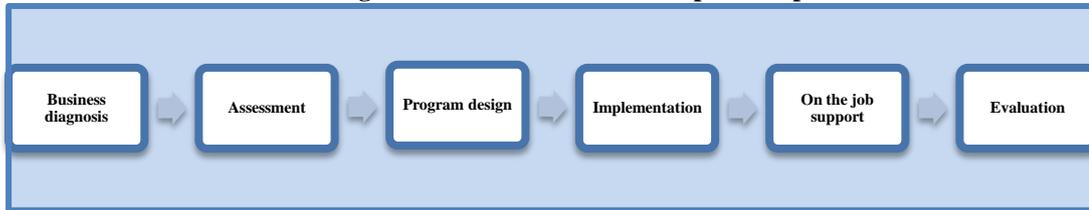
Mark Mendenhall (2011)[144] in his study enquires about why India needs to develop global leaders; competencies that Indian leaders need and how to develop these competencies? The study highlights the significance of behavioral competencies and develops the Global Competencies Inventory (GCI) as seen in the figure 3.5:

Figure 3.5: Global Competencies Inventory

Mark Mendenhall (2011) "Three necessary questions for global leadership development", Vikalpa, vol. 36(4) p 19 17- 23

The study further suggests designing and developing universal competencies and using 'best practice' approach for training managers on the competencies. This study strengthens the need for assessing the competencies for further developing them through two phases as shown in table 3.1

Table 3.1: Phases of developing Global Competencies

Phase I Training and Assessment of GLC	Traditional training methods and assessing intercultural competencies based on GCI
Phase II Personal Development Planning and Coaching	Designing a PDP by participants based on weak competencies supported by Personal coaching

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sustainable leadership, Pffeiffer, Wiley, New Delhi
[144] Mendenhall Mark (2011) "Three Necessary Questions For Global Leadership Development", Vikalpa,vol.36(4) pp 17- 23

Phase III Accountability Reporting	Follow up in a 'participant preferred way' to see development of the competency

As per **Boaden (2006)**[145] the nature of Leadership Development initiatives has shifted from individualistic to relational approaches as the concept of leadership is becoming group centric. **Leskiw and Singh (2007)**[146] note that LD initiatives are moving from traditional class room based approach to action learning approach.

Broome and Hughes (2004) [147] noted Leadership development initiatives affecting relationships between follower and leader at work with increased use of:

- Developmental relationships along with training

- Increasing use of 360 DF,

- Action learning,

- 'Emotional resonance' factor

The author suggests that LD by companies should be on going and not event based by adopting self developed competencies corresponding to organizations strategy and business model to integrate the developmental experience.

Groves (2007) [148] studied the content and delivery of leadership development and succession planning practices in best practice organizations. The researcher's model for optimal development of the leadership pipeline suggested utilizing managers as mentors to identify high potentials and developing them via project-based learning experiences and workshops.

The Center for Creative Leadership, Asia and TMTC (2006)[149] in their India research project found that Leadership is learned from experiences gathered through Challenging assignments (source of lessons); inspiration from superiors and bosses

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[145] Boaden, R.J. (2006). Leadership development; does it make a difference? Leadership & Organization Development Journal, 27(1), 5-27.

[146] Leskiw, S.L. and Singh, P. (2007) Leadership Development: Learning from Best Practices Leadership and Organization Development Journal, 28(5), 444-464.

[147] Hernez-Broome G and Hughes R.L.(2004) "Leadership Development: Past, Present and Future" Human Resource Planning , Vol.27 (1) pp 24-32

[148] Groves Kevin S. (2007) "Integrating LD and Succession planning best practices", Journal of Management Development, Vol. 26 No.3, pp. 239-26

[149] Center for Creative Leadership, Asia and Tata Management Training Center (2006), "Lessons of Experience: India"
http://insights.ccl.org/wp-content/uploads/2015/04/DevelopingFutureLeaders_India.pdf

(bosses as coaches) and adverse work situations faced by managers in India. The study proposed specific job experiences as primary need for leadership development over LD programs of business schools and ad-hoc training and development.

Capelli et al. (2010)[150] highlights emergence of 'Unique Indian model' of LD arising out of circumstances of economy and society where leaders have themselves grown in hardships and uncertainty. The researchers note that the realization about 'people' as source of competetive advantage in India has seen aggressive investments in employee development to gain emplyee commitment and curb turnover. This contrasted with US companies who abandoned investment in employees for fear of losses if employee leaves

Mahapatra and Subramanian (2011) [151] studied the leadership development initiative of a U.S. based IT multinational in India and found a decentralized LD model including self awareness workshop; 'development center' assessment on competencies conducted by an HR consulting firm; a 360 DF on organizational competencies to identify strengths and weaknesses. The Development program revolved around class room training at reputed B school; Perspective sharing by senior executives & experts and a project on current business issue to apply their learning. The study concluded that program had strength as 89% of participants continued with the same organization even after 2 and a half years.

A Pune based IT/ITeS Company used a proprietary 'wholesome leadership development process' of **Pragati Leadership Pune** [152], for structured development of operations managers and senior team leaders. The LD process included assessments; Trainings on emotional awareness, goal setting and time management; Coaching and 360 DF for post program assessment. The impact of the intervention was evidenced in

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[150] Capelli Peter, Singh Harbir, Singh Jitendra and Michael Useem, (2010) Leadership lessons from India, Harvard Business Review March 2010

[151] Mahapatra Gopal and Subramanian Vivek (2011) "Leadership development in a Multinational- an India case" in Leadership development in Organizations in India: The why and How of It (Part I) Vikalpa Vol.36(3)

[152] Pragati Leadership (2015) "Creating high potential leaders", http://pragatileadership.com/wp- content/uploads/2016/01/Creating_High_Potential_Leaders_IT_ITES A-leadership_Development_Case_Study.pdf

10-20% improvement in leadership competencies such as extraordinary results and customer relationships.

Day (2001)[153] studies leadership development from conceptual, practice and research context. The researcher revealed support and practices revolving around 360 DF, mentoring, assignments but found action learning becoming backbone of contemporary leadership development systems.

Table 2. Summary of Selected Practices in Leadership Development

Practice	Description	Development Target	HC	SC	Strengths	Weaknesses
360-degree feedback	Multi-source ratings of performance, organized and presented to an individual	Self-knowledge Behavioral change	✓	x	Comprehensive picture; broad participation (A)	Overwhelming amount of data; no guidance on how to change; time and effort (C, S)
Coaching	Practical, goal-focused form of one-on-one learning	Self-knowledge Behavioral change Career development	✓	?	Personalized; intensive (C, S)	Perceived stigma (remedial); expensive
Mentoring	Advising/developmental relationship, usually with a more senior manager	Broader understanding. Advancement catalyst. Lessons learned/ avoid mistakes.	✓	?	Strong personal bond (S)	Peer jealousy; over dependence; (A, C)
Networks	Connecting to others in different functions and areas	Better problem-solving. Learning who to consult for project help. Socialization	?	✓	Builds organization (S)	Ad hoc; unstructured (A)
Job Assignments	Providing "stretch" assignments in terms of role, function, or geography	Skills development. Broader understanding of the business.	✓	?	Job relevant; accelerates learning (C)	Conflict between performance and devel.; no structure for learning (A, S)
Action Learning	Project-based learning directed at important business problems	Socialization Teamwork Implement strategy.	✓	✓	Tied to business imperatives; action-oriented (C, S)	Time intensive; leadership lessons not always clear; over-emphasis on results (A)

Note: HC = human capital; SC = social capital; ✓ = intended developmental target; x = not an intended developmental target; ? = possible developmental target; A = assessment; C = challenge; S = support.

Source: David. V Day (2001) , "Leadership Development : A review in context" leadership Quarterly,11(4), P 8

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[153] Day V. David (2001) , "Leadership Development : A Review in Context" leadership Quarterly, 11(4), Pp 581-613

Insights from studies conducted on Leadership development

1. 'War for talent' and 'globalizing business' has lead to leadership crisis.

2. Indian IT managers are getting global leadership roles and specific problems of managing knowledge workers and first time managers and their need to adapt to context and culture of such operations creates the need for LD in IT Industry

3. Leadership development (LD) needs to be an organizational strategy that includes dimensions like developing skills and values at all management levels.

4. 'Leadership Development' is developing the combined group capabilities and developmental leadership style is desirable in managers of IT industry

5. 'Selection of candidates' is important principle for developing managers at all levels.

6. Needs assessment, selection of participants, design of program, evaluation of program to improve are factors for effective leadership development.

7. Research finds ineffective use of IDPs in the appraisal formats for developing leaders.

8. 'Program' method of LD being implemented by global best practices companies.

9. LD should be an on-going effort based on organization specific competencies

10. Organizations in the knowledge Industry using specific competency frameworks to assess the needs of development

11. 'Corporate Universities' being used for understanding leadership concept

12. To build leaders at all levels in the knowledge industry, Self assessment has a long lasting effect than training for internal behavioral development.

13. Companies in Asia-Pacific region developing only senior level leadership ignoring the middle and frontline managers and show least investment in developing leaders.

14. Multinational IT companies require decentralized LD model to align location and business specific factors

15. Leadership development helps to maintain leadership pipeline and ensures effective succession planning

The objectives of the study as stated in chapter 1 earlier determine the scope for the review of existing literature. Further, the review of literature benefits this research work to identify the basic constructs, models and frameworks and the relationship between them. It also helped to identify gap in research till date and provide new dimensions in which studies can be undertaken.

3.6   Research Gap:

The literature on methods to identify participants for leadership development and design of such initiatives in I.T Industry is scarce. Further, there is little published research on leadership development initiatives in the IT industry but there is literature available on people development initiatives in annual reports, magazines and newspapers.

The most crucial consideration for Leadership Development is to identify employees with the potential to be developed as leaders. This brings focus on various assessment systems like the PAS that help the organizations to identify people with such potential.

The conceptual study about performance appraisal identifies it as a developmental tool but the researcher does not find research studies attempting to correlate it with leadership development. The researcher has attempted to fill this gap through the present study particularly with reference to the IT industry in Pune. The study looks at performance appraisal as a developmental practice and its link with leadership development programs in the I.T. Industry. It also sets the tone for future research in various leadership development aspects of the contemporary I.T. companies in India in general and in Pune city in particular.

3.7   Statement of Problem:

The Performance Appraisal System (PAS) is a practice that serves two different purposes: Administrative and Developmental. Performance Appraisal under its developmental purpose is taken as a communication and motivational tool in organizations. As an constituent of the PAS, managers as appraisers are expected to provide feedback on behaviors and identify development areas of their reportees (appraisee's). Appraisee's themselves have an opportunity to design their personal development plans as a part of PAS.

It has been observed by the researcher that the feedback on developmental areas identified by appraiser's are not always accepted and may sometimes lead to conflicts. The process of conducting performance appraisal is subjective and bringing objectivity is a challenge. If performed effectively, PAS is expected to positively influence results as well as behaviors of employees. Further, the results of appraisal

become an input towards Individual/Team development initiatives in any organization. Hence the researcher seeks to Study the Impact of Performance appraisal systems in select I.T. Companies on Leadership Development.

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