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Performance Management in Further Education: A Balanced Scorecard Approach

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DECLARATION

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CONTENTS

List of Figures

List of Tables

Table of Charts

ABSTRACT

This study investigates aspects of performance management to determine if such a system can be implemented in a further education college. The performance management system used was based on the concept of the Balanced Scorecard devised by Kaplan and Norton in 1992. The Balanced Scorecard is a performance management system that enables institutions to translate their vision and strategic aims into action. After 1993 colleges concentrated their planning strategies on developmental activities to the detriment of other business processes. The Balanced Scorecard perspectives identified as essential to the success in this college were customers, finance, staff, systems and developments.

The performance management system was based on a team approach where the strategic aims of the college were translated into operational objectives. In addition to linking teams to the vision and strategic aims of the college, it was also an objective to link individual performance of staff and CPD to the operational objectives of the team.

The methodology used was an action research study. Qualitative and quantitative analysis were carried out to determine the effects of change on operational planning. A questionnaire was used to determine the opinions of staff. A focus group determined the opinions of senior managers. Visits to other colleges and industrial organisations were sources of information which informed the practicalities of implementing performance management.

The study concluded a performance management system is effective in promoting teamwork and in ensuring that the vision and strategic aims of the college are achieved. The Balanced Scorecard model developed for this study is an effective method of linking the concept of performance management to operational planning. Evidence from the staff questionnaire led to the conclusion that the performance and development review procedure was effective.

CHAPTER ONE

INTRODUCTION

There are two well known sayings about measurement and performance:

- What gets measured gets done.
- If you can't measure it, you can't manage it.

(Armstrong and Baron 2000)

This concept is further defined by Daniels (1987) who suggests that anything can be measured and if it can be measured it can be improved.

Montgomery (1999: pp126-7) cites the work of Eisner (1985) who takes a contrasting view in the context of measurement: "We are all too impatient about attaining the educational ends that really matter. The press for accountability pushes us towards short term goals. We are too eager to settle for what is quickly demonstrable. We need to learn how to take a longer view and be held accountable for more than the merely measurable."

The focus of this study is on how a system of performance management was developed and introduced into a further education college. Performance management is a term, which has not been associated with education and the measurement of performance of colleges, has been a difficult and contentious area. The outcomes of the educational process of a college can be measured in either quantitative or, qualitative terms or in some cases, a combination of both. Quantitative measurements can be student's results relating to the achievement of specific qualifications, units of achievement and learning outcomes. These outcomes can to be compared statistically and comparisons made between individual students and between individual institutions.

Qualitative outcomes can focus on processes and outcomes, which underpin the learning process. These may include how well the student meets attendance criteria,

submission of work deadlines, punctuality, time management and take up of learning and tutor support. Students can also develop and enhance their social skills through group and peer interaction. A combined approach using both qualitative and quantitative measures to determine student ability would be where students are streamed to a specific class. Evidence such as prior achievement, initial assessment, an assessment of a piece of work or other criteria is used to determine the class or group placing of a student.

The direct links between the performance of staff and student results is less tangible. Lecturers' unions are opposed to the direct measurement of the performance of staff in colleges and are also opposed to staff appraisal systems. This opposition, however, is not uniform across the further education sector and many colleges have successfully introduced staff appraisal where the outcome of the appraisal process is the agreement of training and development activities

Appraisal of this type is firmly focussed on the development of staff and on how their personal development enhances their career and progression in an institute. There are unlikely to be any performance measurements made to indicate to the member of staff how successful or otherwise they may have been in their job. Judgement on staff performance by their immediate line manager is a fundamental requirement of the appraisal process in a commercial organisation.

Traditional performance measurement systems provided a means of control. The focus in private organisations was primarily on financial measures of performance such as profits. Public sector organisations were concerned more with controlling inputs, rather than measuring outputs.

The Scottish Office considered appraisal to be the answer to achieving better performance in colleges and published guidelines during 1991. Colleges developed their own appraisal systems using the published guidelines, but many chose to call their systems career reviews or training and development reviews, due to the fear of union reaction to the idea of performance measurement. During 1993 all colleges

were incorporated as a result of the Education Scotland Act 1993. While incorporation gave colleges their independence it required a more rigorous approach to self management. Colleges had to meet the audit standards of Her Majesty's Inspectorate (HMI) and the quality standards of the Scottish Quality Management System (SQMS). The Scottish Office also encouraged colleges to work towards the achievement of the Investors In People Standard (IIP). IIP standards required organisations to have systems of training and development for all staff in place and evidence that the systems are effective. During 1998 the Scottish Office published standards relating to quality and self-evaluation. Element C4 is a quality indicator which requires a college to have in place effective staff development and systematic arrangements for the review of performance to develop the potential of all staff. Investors In People Standards (2000) were changed to incorporate a performance element. Evidence to support indicator 10 of the standard requires an organisation to show that the development of people improves the performance of the organisation, teams and individuals. Indicator 11 requires evidence to show that staff understand the impact that the development of people has on the performance of the organisation.

Investors In People now links performance with the development of staff. The previous indicators had a greater emphasis on evaluation following appraisal and development.

Elmwood College has been operating a system of annual appraisal for approximately ten years. During the last six years it has also undergone two IIP audits. The appraisal system, based on national guidelines published by the Scottish Office during 1991 (National Guidelines for Staff Development and Appraisal in Further Education Scotland 1991), followed the traditional model where it was controlled and administered by the college Personnel section. It was a totally confidential system and offered no encouragement to discuss the outcome of the appraisal interview with others. During the period from 1998 the College found that the appraisal system did not fit well with the team structure which it had systematically developed over the same timeframe. It became clear that we had to become more

performance orientated and that this would be more successfully introduced if it was focussed on the development of teams in the college.

The principles of performance management have been well summarised by Industrial Relations Services (IRS) (1996) as follows:

- It translates corporate goals into individual, team, department and divisional goals.
- It helps to clarify corporate goals.
- It is a continuous and evolutionary process in which performance improves over time.
- It relies on consensus and co-operation rather than control or coercion.
- It creates a shared understanding of what is required to improve performance and how this will be achieved.
- 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.

The concept of performance management has a significant emphasis on the development of teamwork. Colleges were being encouraged to develop systems of measuring performance, a process directly linked to strategic and operational planning where objectives have to be capable of being measured. A review of the literature found that some colleges were attempting to address both of these issues by reinforcing their quality procedures, with certain colleges developing their systems using the European Foundation for Quality Management (EFQM) model. This model had a significant emphasis on systems and very little evidence of improving teamwork as a result of its implementation. Further research into the concept of performance management reinforced the claims made by IRS.

A system of performance management, if it could be applied to a further education college, had the potential of achieving two main objectives. The first was to further the development of the team system in the college. The second was to develop a system where teams and individuals could relate personal and team performance to the achievement of agreed targets and objectives.

Performance management, developed during the nineties, was a relatively new management concept. Research indicated that there were examples of its use in industry but there were few examples of it being applied to a further education college. If the concept could be applied to a further education college and could prove to have the benefits indicated by IRS, then this was an issue worthy of further research.

As well as developing a team ethos and structure in the college, the overall style of management was to be open and honest with staff and to foster a "no blame" culture. The whole concept of performance management appeared to offer all of the changes we wished to see. We wanted teams to have ownership of their own operational objectives. We wanted a system of management which encouraged consensus and co-operation. We also wanted to encourage self management of each individual's performance.

The success of teams taking ownership of and empowerment for their own direction lies with the process of strategic and operational planning. Operational planning is linked to strategic planning but has a different timescale. Strategic planning is about developing the strategic vision and aims of the college. The main objectives of strategic planning are to decide on decisions and strategies that will enable the college to achieve its operational objectives. The strategic plan also includes the college mission statement. Hannagan (2002) indicated that the strategic plan of an organisation provides an idea of the overall direction of the organisation and the way it is planning to develop. Hannagan also indicated that mission statements are a single short statement that represents the vision or mission of an organisation. The

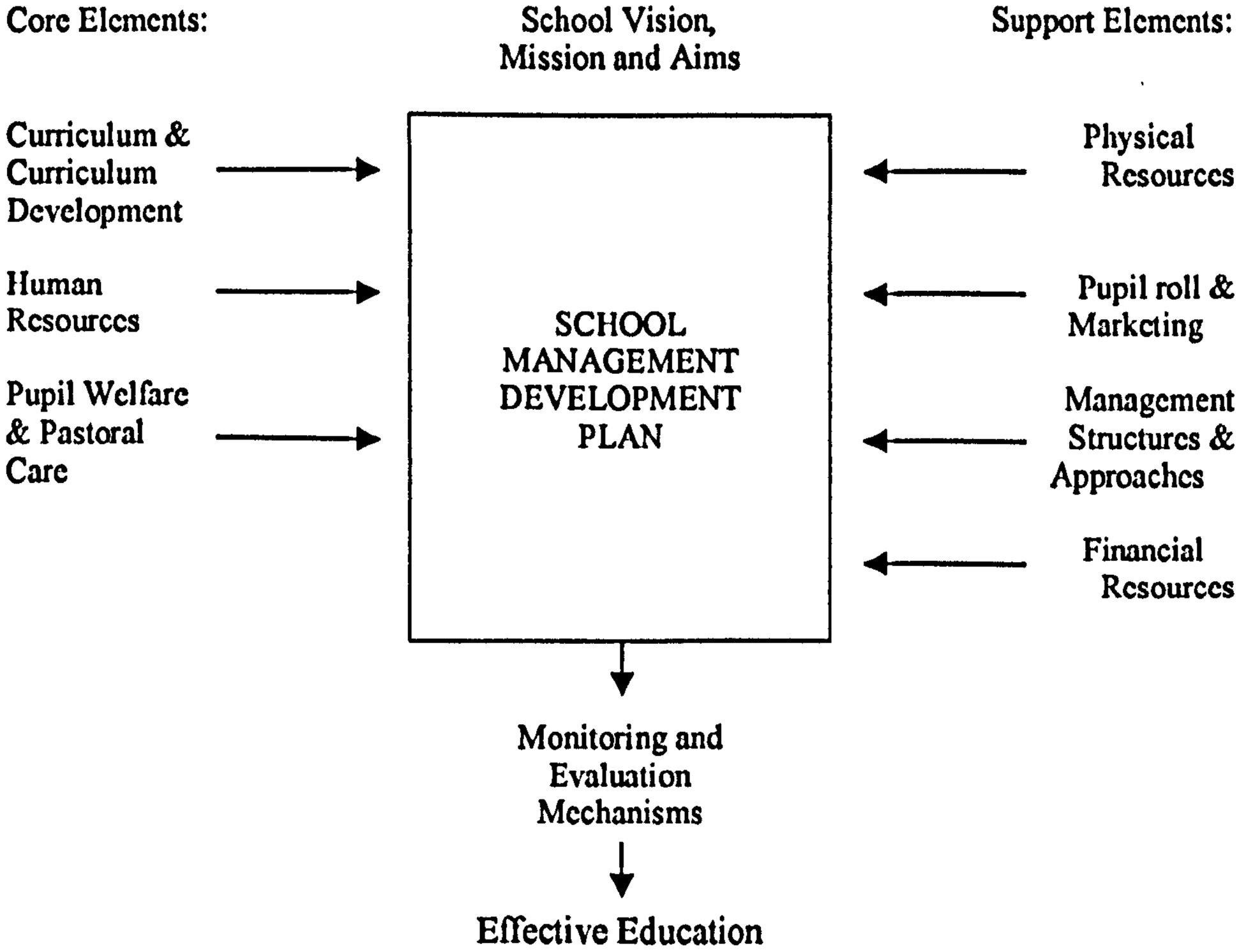
mission statement describes an organisation's basic purpose. Characteristics of mission statements are that they are succinct, distinctive and wide in scope.

Davies and Ellison (1999) state that strategic planning is the process of matching activities to the emerging environment. The success of strategic planning is based on there being a predictable environment which can be identified so that appropriate strategies can be implemented in a rational, steady way. Davies and Ellison developed their original model of development planning in 1992 (Davies and Ellison 1992:9) in order to provide a strategic picture of where a school is, where it is going and how it intends to get there. The model shown in Figure 1.1 sub-divides activities into core elements and support elements. The core elements represent the main purpose of the school and the support elements facilitate the effective operation of the core elements.

Figure 1.1

The original school development planning model.

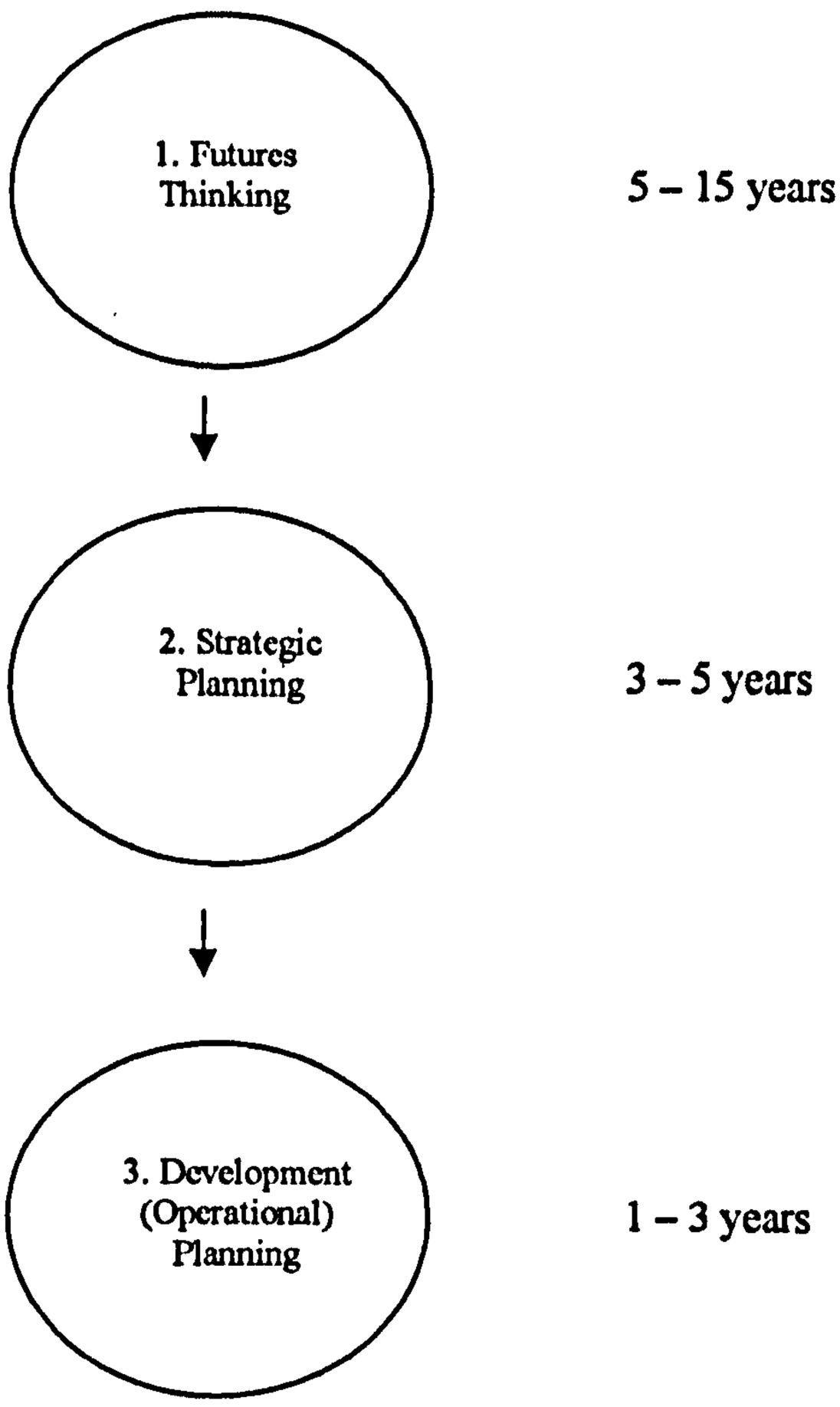
Source: Davies and Ellison 1992:9, Financial Times Management.



Ellison and Davies indicate that this model is more appropriate for shorter-term operational planning. It does not allow for a longer-term holistic perspective. They suggest that a more appropriate model involves futures thinking in order to develop a vision about a desired future state and to then create scenarios which might represent the school's future. Davies and Ellison propose that this could be achieved through an extension of the development planning process as can be seen in the following figure 1.2.

Figure 1.2

The three-stage model.
Source: Davies and Ellison 1997a:76



The importance of futures thinking is reinforced by Davies and Ellison. They indicate that with the rapid changes which are taking place in the economy and society, together with the revolution in teaching and learning offered by the new learning technologies it would seem very desirable that more fundamental long term thinking should take place.

Davies and Ellison cite the work of Max Boisot (1995. Boisot suggests that traditional strategic planning is ineffective because of turbulence caused by rapidly increasing rates of change. He suggests that strategists have to be able to respond to the phenomenon of increasing rates of change and suggests there are four basic types of response.

1. Strategic Planning
2. Emergent Strategy
3. Intrapreneurship
4. Strategic Intent

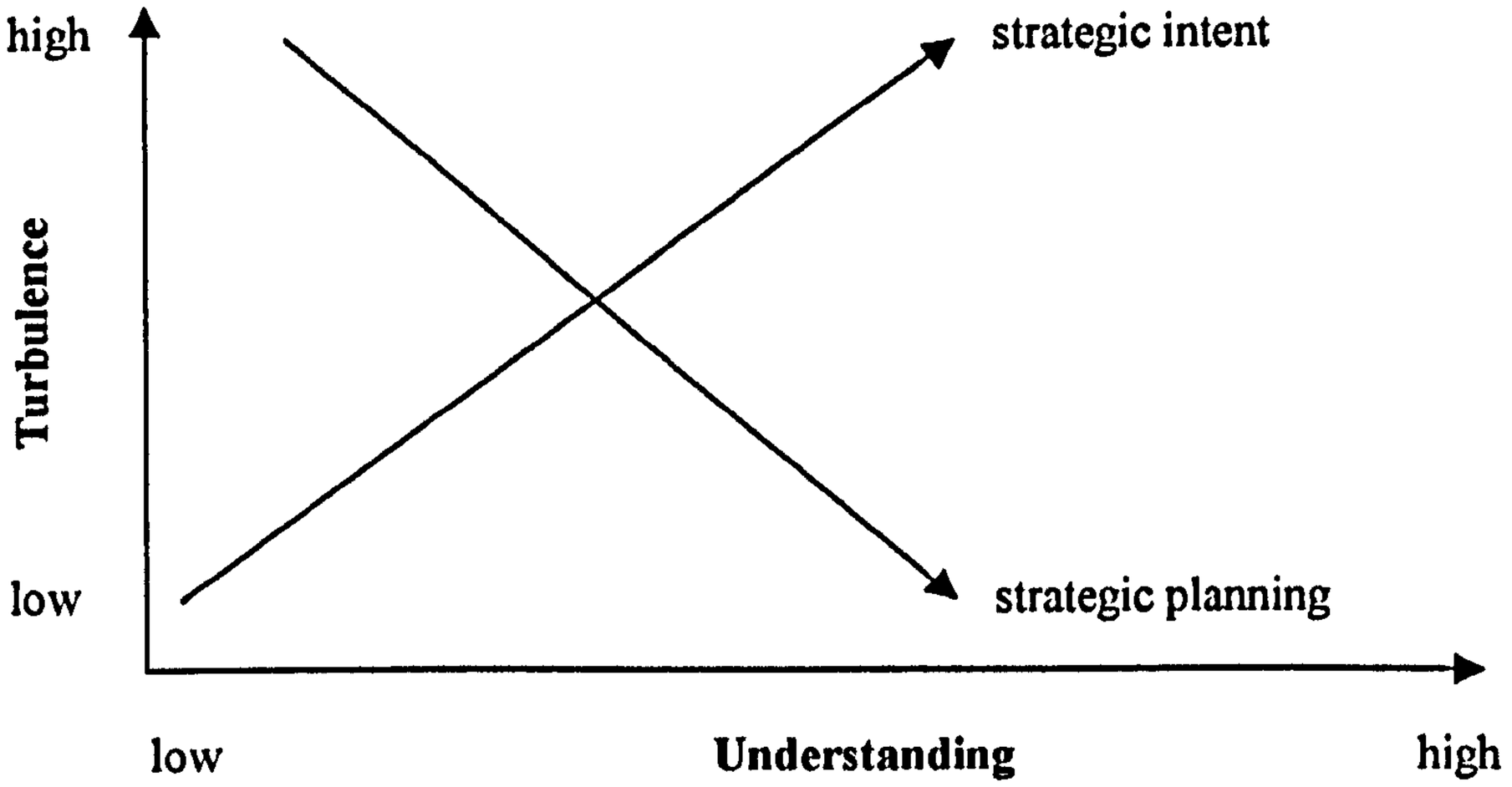
Strategic planning relies on a stable environment where change is sufficiently slow for there to be an effective corporate response. Emergent strategy is an organisation wide process of incremental adjustment to environmental states that cannot be discerned or anticipated through a prior analysis of data (Mintzberg, 1985). Intrapreneurship is a strategy that is recommended where the perceived degree of environmental turbulence facing a firm is high and can neither be handled incrementally nor tamed by analysis (Pinchot, 1985). Strategic intent is a process of coping with turbulence through a direct, intuitive understanding emanating from the top of a firm and guiding its efforts. Davies and Ellison (1999) suggest that strategic intent is an approach which seems to have a lot to offer schools, as an alternative to traditional strategic planning. Boisot believes that an organisation operating in a regime of strategic intent can use a common vision to keep the behaviour of its employees aligned with a common purpose when it decentralises in response to turbulence.

The relationship between the degree of turbulence and the relationship between strategic intent and strategic planning can be seen in figure 1.3.

Figure 1.3

Strategic intent and strategic planning.

Source: Boisot 1995:40.



Davies and Ellison (1999) suggest that with strategic intent there needs to be a process of coping with and using the rapid change and turbulence. It does this by binding the staff together in the furtherance of focussed key priorities that become core activities of the organisation. Strategic planning is where there is a determined effort to release the effect of rapid change and turbulence by controlling more of the specific details of the activity.

There is a strong link with strategic intent and the process of involving teams in developing their own operational objectives with core areas. Strategic planning can deal with the predictable areas of the college and the majority of these are in the support areas. Curriculum teams work in an area of high turbulence where they have to respond to change more rapidly therefore strategic intent is more appropriate.

The work of Boisot has not been applied to this research study other than to show that strategic planning over a three year period follows the traditional model. There is the potential to explore the strategic intent model as there is a strong link to team development, however this was not explored in this study.

Senior Managers of the college review their specific area of the college in terms of its performance in meeting previously set objectives and targets. New developments are considered and decisions are reached following a detailed risk analysis and costing. The outcome of the planning day is the production of the college strategic plan. This plan is submitted to the Funding Council following a formal approval by the Board of Management. The strategic plan relates to a period of three years.

The strategic aims have to be developed by individual teams into operational plans. The operational plan of the college details how the institution intends to deliver the strategic plan. Each team in the college has to provide a plan for the next academic year. The operational plan also has to review the success of the previous operational plan. If an operational objective is not achieved consideration has to be given to its inclusion in the current plan. Each objective included in the operational plan has to cross reference one or more of the strategic objectives giving a direct link between strategic and operational planning.

A sample analysis of previous operational plans revealed very little evidence that teams had been involved in their production. Evidence indicated that line managers and team leaders were primarily producing their operational plans without involving their team. For performance management to be successful, teams had to have the responsibility for their own operational planning. The analysis of the operational plans also highlighted an imbalance in operational objectives which related to the strategic aims of the college.

A review of the literature indicated that the concept of the Balanced Scorecard provided the best opportunity to resolve this problem. The Balanced Scorecard,

developed by Kaplan and Norton (1992) is a conceptual framework for translating an organisation's vision into a set of performance indicators. It was their view that no single measure can provide a clear performance target on the critical areas of business. The concept of the Balanced Scorecard is reviewed and contrasted with alternative models in chapter two.

This was the final part of the equation capable of producing a system where all of the elements were brought together. As teamwork was one of the main objectives, developing and testing a system of performance management using the balanced scorecard approach offered a sound research idea.

Whilst there was no evidence that it had been tried before in further education, there was evidence that the balanced scorecard had produced beneficial results in industrial applications a sound initial reason for researching and developing the concept. The college was in a position of having to prove to the Funding Council that performance was being measured. Moreover the benefits, if it was found to be successful, could be replicated in other further education colleges. The final reason why this issue was worthy of research, was that the Scottish Further Education Funding Council were also interested in the balanced scorecard approach to operational planning (McCabe, 2001).

The overall structure of this report deals initially with a literature review of appraisal, continuing professional development and performance management. The research aims and questions are developed before dealing with the methodology. Chapter four looks in detail at how performance management was developed and implemented in the college. Finally there is a detailed and comprehensive analysis of the results and evaluation of the study.

The majority of the staff of the college were involved in the study. Academic teams were the first to develop their operational plans using the balanced scorecard approach. The development of the college scorecard involved a group specifically set up for this purpose. Analysis of information was obtained from quantitative and

qualitative analysis of operational plans. Further information and evidence was gathered by questionnaire and focus groups. Peer assessment was carried out using senior staff from other colleges as a method of triangulation.

The limitation of this research is that, whilst the study is based on evidence gathered over a two year period, further evidence may appear for some time after this. The study itself is therefore time bound. I expect there to be a change in culture, however, which may take many years to develop fully. In this context the view of Eisner (1983) that there is a need to take a longer view and be held accountable for more than the merely measurable is also taken into consideration.

CHAPTER TWO

Rationale and literature review

2.1 Investigating the current appraisal strategy in further education

National guidelines for appraisal were published by the Scottish Office Education Department during February 1991. The guidelines were designed to assist education authorities (this was prior to incorporation) and further education colleges to plan a systematic approach to staff development and appraisal.

The system of appraisal that was proposed involved the setting of objectives for each individual related to their job description. Job descriptions had to contain a statement of agreed objectives and their priority and individual performance had to be reviewed at least every two years against each of the objectives.

The current system of appraisal, based on guidelines published in 1991, is recognised by Hartley (1992) as reflecting late nineteenth century managerial principles. These principles included an element of performance related pay (Taylor 1911).

Montgomery (1999) indicated that until 1902 there was an element of payment results included in teachers' pay, but this was discontinued by the Education Act of 1902. The performance of teachers was not an issue until 1976. It was during a speech at Ruskin College during 1976 that Prime Minister James Callaghan argued that education should be more accountable to the public for the way money was spent. He questioned the new informal methods of teaching which were being introduced at that time and proposed that there had to be a core curriculum of basic knowledge. He also proposed that there had to be methods of monitoring the use of resources and national standards of performance. The context of the speech was aimed primarily at the English system of education which differs from the Scottish system in many ways, but the fact that the Prime Minister was concerned on a national basis meant that the thinking on this subject influenced the Scottish Office to adopt a similar line. Appraisal in the formal sense was firmly established by the then

Secretary of State for Education, Sir Keith Joseph (1983) when he proposed that in order to have accountability in education, teachers themselves must be appraised.

Appraisal of teachers was a major part of the educational agenda of the Conservative government during the time of Mrs Thatcher and it was noted in policy documents of 1984. The National Committee for the In-Service Training of Teachers in Scotland proposed the development of teacher appraisal and performance indicators and there was a new managerial system evolving where teachers reported to line managers.

Teacher appraisal had been agreed in principle by 1986 following the teachers' dispute of the previous two and a half years. The Main Report (1986) included an agreement to co-operate in pilot studies on the introduction and evaluation of staff development and career review schemes which would be common to all education authorities. During 1989 the Scottish Education Department issued a consultation paper on the professional development of teachers where it indicated that, if professional development of staff is to be effective and comprehensive, an assessment or appraisal of the performance of individual teachers was required.

During 1991 the Scottish Office Education Department issued National Guidelines for Staff Development and Appraisal in Further Education in Scotland (1991). This document set out the background to staff development and appraisal to assist colleges to develop a systematic approach and to encourage an appropriate degree of consistency across all colleges. The objectives were to maximise the effectiveness and efficiency of a college so as to enhance the quality of learning and teaching; to maintain and improve standards of professional performance; to identify and meet staff development needs; and to assist staff in the continuing development of their careers. The guidelines emphasised that the appraisal process was an important means of identifying staff development needs. They were based on the style of appraisal which was developed during the 1970s and 1980s and suggested that appraisal should be a continuous process based on formal interviews and written reports at least every two years. The procedure would be driven primarily by the personnel section of the college and would be a top down process in which college

managers interview appraisees on their accomplishments over the previous appraisal period. Colleges were also recommended to carry out an evaluation of the performance of lecturers following an assessment of their teaching performance, the results of the assessment being given a rating which indicated the level of performance of the lecturer.

An important aspect of appraisal in colleges during the development period was the composition of the FE college workforce. In all colleges there are management staff, academic staff (those involved in lecturing) and support staff (those involved in administration, technical and clerical posts). Since incorporation little has changed. Both groups have different terms and conditions and negotiate with management separately. There has, however, been progress towards unification by using common appraisal procedures and forms. Walker (1997) suggests that a single scheme would help to promote a shared commitment to organisational objectives and, if introduced sensitively, could have a positive impact on organisational culture which would be critical to its effectiveness (Long, 1986, Anderson, 1993).

Walker (1997) identified three main issues affecting appraisal in Further Education.

- The strategic context of appraisal.
- Design, implementation and evaluation.
- Effectiveness of appraisal.

The strategic context of appraisal links appraisal with the college's strategic objectives. Anderson (1993) indicates that performance appraisal is a key element in enabling organisations to evaluate, utilise and develop skills and abilities of their employees and to ensure that organisational goals are achieved. Colleges produce strategic and operational plans but are not required to evaluate if the outcomes of appraisal have had an effect on these plans. Scribbens and Walton (1987) identified appraisal schemes as hard or soft; hard schemes are based on an evaluative appraisal of performance. Soft schemes do not appraise the performance of an individual but agree that the outcomes of the appraisal are developmental needs, usually a training

related activity. The opposite dimensions indicate that soft schemes mainly deal with career ambitions, staff training, dialogue and employee potential whereas hard schemes are more directly concerned with disciplinary action, pay, performance objectives and past performance. Lee (1991) reported on a pilot scheme in seven FE colleges where an appraisal framework was tested. One of his conclusions was that in order to benefit individuals and institutions, and thereby enhance the quality of service provided, the links between individual approaches and corporate review need to be firmly established. This approach is consistent with good management practice as reinforced by the Investors in People initiative and consistent with the approach of Anderson (1993) and Hartle (1995).

Where there have been attempts to link the appraisal process to the Colleges' operational and strategic plans, these have been through the evaluation of staff development activities which may have taken place as a result of the appraisal process. The Investors in People process has stimulated organisations to ensure that evaluation is carried out and that it is effective.

Appraisal in Further Education colleges is still not addressing whether there has been a change in performance as a result of appraisal. Martinez (1999) suggests that appraisal is open to four major objections. The individual focus of appraisal can be at odds with the reality of day to day work in that the structure of colleges is usually based on teams. It is time consuming and difficult to move from individual evaluations to team performance review. He also indicates that some colleges have not devoted time to appraisal and operate on a two year cycle. There is also evidence that there is no direct assessment of an individual's performance either by observation or by direct knowledge.

A survey carried out by Walker (1997) found that 94% of colleges, from a 36% sample of all UK colleges, had introduced an appraisal scheme. This figure has to be treated with caution, as it is more likely that a college with an appraisal scheme will respond to a survey whereas those who have not implemented appraisal may not. At this stage, however it is the most up to date data that is available. Two main reasons

were identified for introducing appraisal. The first was to address staff development needs (92% of schemes) and the second was to identify targets linked to organisational objectives (70% of schemes). Only 12 per cent indicated that their schemes were linked to performance related pay. Walker suggest that this is evidence that colleges see staff development and the setting of clear targets as more effective in improving performance than the use of extrinsic motivators such as performance related pay. Lecturers' unions are completely opposed to the concept of performance related pay which also has a significant effect on colleges wishing to avoid this contentious area.

It was also found that the traditional approach to appraisal was being used in 82% of colleges where line managers carried out appraisal. Peer appraisal is described by Fletcher (1993) as having an appeal in academic and teaching institutions; however evidence from the survey found that its use was relatively low due to the reluctance of peers to undertake this role and also the perceived need for management input into the appraisal process. As colleges move towards self-evaluation they collect information from students who are effectively clients. There is information on managerial effectiveness from course reviews and college inspections provide a wide range of specific information. This will increase the need to be more performance objective in carrying out appraisal.

Walker found that 2% of colleges used 360° appraisal models. Milliman et al (1995) claims that 360° feedback will increase the probability that employees will meet their performance objectives; however, Walker suggests that in practice it makes the appraisal procedure more complicated than necessary. Ward (1997) defines the aim of 360° feedback as to obtain performance information on an individual from those with whom they interact most, such as their manager, team members and staff. Other organisations extend the gathering of feedback beyond the organisation to customers, suppliers and other stakeholders. The technique measures in detail the behaviours and competencies shown by an individual or, in some advanced systems, a team or group. It has a link with quality systems such as ISO and EFQM where it can be used in the evidence gathering area of quality criteria. At a strategic level Ward

indicates that it provides access to performance data on skills and performance. It provides information where it is possible to measure the success of strategic initiatives. A significant benefit of 360° feedback is that it is open and transparent due to the fact that it encourages participants to share their feedback with others. Ward found that organisations who have introduced 360° feedback have noticed that it can have a morale-boosting effect. Participants find themselves asking for feedback information. The technique can influence quantity and quality of performance, communications and motivation.

It is a system, which cannot be introduced quickly in an organisation. My own visits to organisations who have 360° feedback showed that it was only being applied to a specific group of managers due to the significant amount of administration involved. 360° feedback is however becoming more popular as organisations focus on employees emphasise performance measurement as a means of achieving strategic goals.

Walker's survey also found strong evidence (70% of schemes) that appraisal is informed by targets identified in previous appraisals. It is suggested that this provides a continuous quality improvement approach by building on previous achievements. Observation of teaching was carried out in 64% of the colleges surveyed. The finding of Walker on the design and implementation of appraisal was that appraisal schemes in further education have been designed and implemented to play a strategic role by continuing the development of the individual with a contribution to organisational performance. This contrasts significantly with the findings of Martinez (1999) who indicated that there was no evidence of a link between appraisal and individual performance.

When analysing the effectiveness of appraisal schemes Walker found that the benefits identified for the appraisee and appraiser were greater than that for the team as a whole. There was some evidence that appraisal schemes do play some role at a strategic level through the contribution of individual objectives meeting college objectives. There was very little evidence linking appraisal to improving the learning

experience of students or to achieving the Investors in People standard. Walker concluded that appraisal outcomes have more impact at the individual than at the organisational level.

By far the greatest disadvantage of appraisal is its heavy demand on time. Other disadvantages have been identified by other researchers. Armstrong (1995) indicated that appraisal schemes have tended to incorporate an uneasy mix of objective setting and rating processes. They have often been the property of the personnel department which has imposed them as a bureaucratic system on line managers who carry out appraisals under duress and, therefore, badly. Managers dislike criticising appraisees in interviews face to face and there is an inconsistency in the approach and skills of managers in being able to handle appraisals and interviews. McGregor (1957) highlighted problems of appraisal. If there is resistance to the appraisal process in an organisation the resistance is overcome by the introduction of strict control procedures. As a result appraisal interviews are then done as a matter of routine and the outcome is that the appraisal forms gather dust in the personnel department forgotten and ignored.

In my own College the early warning signs were already there. Appraisal was following a routine; there was inconsistency of approach between line managers; it was not always completed on time; and staff were sceptical about its benefits- apart from those who had received significant training and who as a result were therefore attractive in a reducing labour market. Performance measures were discussed at appraisal but there was no opportunity for others to see this as the confidentiality of the system prevented it. It was also difficult to benchmark the level and depth of appraisal to which each line manager was going with an appraisee, again due to the confidentiality of the procedure. There is a correlation of these findings with the work of Garaven et al (1999) where they indicate that managers often lack the necessary skills to make it effective; that it may not be carried out honestly and openly; it may become bureaucratic and time consuming; it may be perfunctory without data gathering or planning and is sometimes not goal orientated but retrospective.

On the positive side, however, staff were aware of the principles of the appraisal process and could see the benefits relating to training and educational opportunities. This is one feature which has seen the dissolving of union resistance, although the threat of their withdrawing co-operation is always in the background.

Continuing Professional Development has become a positive outcome of appraisal in my own college, being now established as a significant outcome of the appraisal process and one which I would wish to see being continued and incorporated into a performance management system. Other members of staff also see this part of the appraisal process as it is the most transparent aspect. They can draw comparisons and can be motivated to aspire to the level of study of others. Due to the confidentiality of the appraisal process the setting of objectives and tasks are not seen and are not known to others and are therefore the preserve of the line manager and the appraisee. This does not contribute to teamwork or trust between peers and line managers.

Walker (1997) found that appraisal has been successfully implemented in the Further Education Sector and his findings testify to the positive contribution appraisal can make to individual and organisation performance. There was more evidence of potential benefit being realised at the individual than at the organisation level. These findings are reinforced by the view of Yeates (1990) that it is notoriously difficult to evaluate the contribution appraisal can make to organisational performance. Observation of teaching is important if a college is to be able to undertake self-evaluation of teaching and learning.

It is clear from the literature and research evidence that the most widely used method of appraisal is the line manager method. This has been found to be outdated and does not meet the needs of a responsive college which relies on teamwork to meet the changing demands of its clients. We are asking staff to work towards developing themselves in a team approach towards the strategic aims of the college. Appraisal

on its own will not achieve this but only as part of an integrated performance management system.

Fletcher (1993) provides the following as the basis for change. Performance management is associated with creating a shared vision of the purpose and aims of the organisation; helping each employee understand and recognise their part in contributing to them; and in so doing, managing and enhancing the performance of both individual and the organisation.

2.2 Continuing professional development and lifelong learning

Continuing Professional Development (CPD) is the term which is increasingly being used to describe the on-going learning that professionals need to undertake throughout their career in order to maintain their professional competence. It is a process where education and learning, linked to an individual's vocational area, provide the individual with the ability to remain up-to-date in their field. Education can be formal qualifications which are necessary to practice in a vocational area. These qualifications can be graded to allow progress to higher positions. Learning new skills and procedures through specialist courses and seminars provide individuals with the opportunity of learning from others. Williams (1997) suggested education should not be seen as an activity separated from work but as an integral part of the career development of individuals. Many individuals may not see learning as being integrated with their daily work which means that, when hoping to establish CPD as an outcome of appraisal a change in the culture of an organisation may also be required. CPD must be a shared process; the individual has responsibility for personal and professional development and must be willing to participate in training and development opportunities.

The organisation has to be able to provide resources and support to enable CPD to be achieved and to ensure that staff can achieve the goals that have been set for them.

Since the 1980s, the government has attempted to establish a completely new framework for training and development. These initiatives include General Scottish Vocational Qualifications (GSVQs) which are taken in schools and further education colleges and are intended to develop core skills and specific understanding and knowledge of broad occupational areas. Post-school Scottish Vocational Qualifications (SVQs) are usually taken by people in the workplace where they have to demonstrate competence in performance against a range of criteria. The Investors in People standard encourages organisations to improve their performance by linking their business goals to the development and training needs of their staff. These are examples of how the government has attempted to improve the workforce by promoting training and development.

There are four main reasons why staff should involve themselves in CPD.

1) To update themselves on new developments especially in the vocational areas of their teaching. Staff in universities, for example, have an advantage over the FE lecturer. They are expected to be involved in a research element as well as teach, which tends to keep them up to date in their specific field.

2) To develop themselves for additional roles and responsibilities where change is occurring. This will also assist them in preparing for additional responsibility as a result of promotion.

3) To develop personal effectiveness in the way they manage themselves.

4) To seek professional status as a condition of their continuing employment. Lecturers acquire this through teacher training and General Teaching Council membership although at this time it is not yet mandatory for further education lecturers.

Linked to the concept of CPD is the phrase Lifelong Learning which in a way is intrinsically linked to CPD. Lifelong learning however, is less vocationally linked to

the present vocation of an individual. Lifelong learning is becoming a well know phrase, the concept informs a key part of the current government's education strategy (Scottish Office 1998). So widespread has usage of the term "Lifelong Learning" become that it is in danger of losing all meaning (Coffield 1999). The range of activities, which can be regarded as Lifelong Learning opportunities, has become significant. Osborne (1999) suggests that these include activities, which range from New Deal to MBAs; from Adult Basic Education to staff training; and from Higher Still to part time degrees. The range appears unlimited. Osborne quotes the work of Cross when she endeavoured to define Lifelong Learning and quotes Richardson (1979) "Lifelong Education means anything you want it to mean". Osborne states that two major strands can be discerned within current government thinking: the need for social inclusion and the need for economic competitiveness. These two strands of thinking have come to dominate the Lifelong Learning agenda.

The European Union has identified in its "Proposals by the European Association for the Education of Adults" that we are at a turning point along the road to a learning society (EAEA 1998). The 1995 White Paper Teaching and Learning, quoted by the EAEA, stated that education and training, whether acquired in the formal education system, on the job or in more informal ways, is the key for everyone to control their future and personal development. Three key purposes of learning which have been identified by the European Union are social integration, the enhancement of employability and personal fulfilment. Our own government is supportive of Lifelong Learning and the Scottish University for Industry (SUFI) has been established to lead a learning revolution which will exploit the new technologies to bring learning opportunities into the workplace, the home and the community. It intends to offer both individuals and organisations the type of learning they need, delivered where and when it suits them best.

Colleges can access these opportunities for staff. Individual learning accounts enabled staff to increase their knowledge through accessing courses which extended their ability in areas directly associated with their vocation in college. Staff in a

college are likely to increasingly become involved in CPD and Lifelong Learning through workplace learning and assessment.

The Further Education National Training Organisation (FENTO) has been established as an independent provider of advice, guidance and information on CPD for the FE sector. It commissions or carries out research into the skill issues that concern colleges. Findings are published and used to inform colleges and government. FENTO has developed occupational standards for Further Education and these provide the basis for all FE teaching qualifications (with the exception of Scotland where the Scottish Executive have provided similar standards). Occupational standards for college managers have also been developed by FENTO. They are intended to set standards for FE college managers and to identify and overcome skills gaps in college management.

Halliday (1996, p55) is critical of the trend that is being promoted by organisations such as FENTO. Occupational standards do not have prescribed links to theoretical underpinning. This applies to teacher training and also management training. Halliday suggests that theoretically informed practice, wherever the practice is located, is directly opposed to the currently fashionable and impoverished concept of teaching as a technical activity. This trend looks as if it may also become an option for management training in further education.

Research carried out by FENTO (2001) indicates that there is a small but significant proportion of lecturing staff neither trained nor qualified as lecturers. There is a widespread skills gap in management teams and individual managers. The level of information technology (IT) and information and learning technology (ILT) skills gaps for lecturers was a major cause for concern.

Guile and Lucas (1996) suggest that in the context of change there are emerging new demands on colleges and FE lecturers. They have identified five broad categories. The first is the demands that lecturers face in promoting the acquisition of skills and knowledge by students, trainees and employers with a wide diversity of learning

needs and attitudes. They suggest that lecturers need to broaden their forms of expertise to include resource based learning, modular curriculum design and to maximise the potential of ILT as a resource for learning. FENTO (2001) also note that 51.5% of colleges recognise that there is a skills gap in lecturing staff being able to use IT in the curriculum. FENTO found that a high proportion of colleges recognise that many staff cannot make sufficient use of IT for personal use.

The second category is the demand on FE lecturers to support students in developing key skills or core skills. Key skills of literacy, numeracy and information technology are mandatory for Scottish Vocational Qualifications (SVQs). Bailey (1991) and Guile and Fonda (1998) argue that in future the emphasis will need to be more upon broad work roles rather than specific jobs. There will be new demands on the FE sector to develop broad-based forms of employability skills and knowledge.

Many colleges put college wide staff development activities before CPD and lifelong learning needs of staff; they prioritise organisational needs before individual needs. A survey carried out by Rust (1998) found that there was a strong emphasis on curriculum issues. Martinez also identified that curriculum managers seemed to play the key role in the professional development of their staff. The UK Universities and Colleges Staff Development Agency (UK UCoSDA) (1994) identified similar trends in CPD across both the HE and FE sectors. Initiatives for staff development were centrally designed and linked to institutional objectives and priorities. Examples identified were equal opportunities developments, quality initiatives and common IT training. To support training it is commonplace to find that there is at least one designated staff development person in each college who supports both academic and support staff. There is recognition of the need to plan more effectively for CPD by making specific allocations within the organisation's budget. The development of systems of appraisal has raised staff expectations. Traditional appraisal systems used by colleges focus on training as an outcome of this process. Universities have also designed qualification routes which have a structured framework of accredited awards at various levels to suit CPD of staff in FE colleges.

Many colleges recognise that CPD is essential for senior staff and heads of department to develop their managerial, leadership and administrative skills. UK UCoSDA found that whilst there was evidence of initial training for a particular post, usually induction orientation, there was little evidence of professional development for succession planning.

It is clear that CPD in Further Education has to have a structured approach if it is to be successful. Strategies have to be carefully thought out and responsibilities and resources identified. CPD has to embrace all staff in a college. The 'Investors In People' initiative requires that to happen; it is likely that this initiative has contributed to a more structured approach being taken rather than ad hoc arrangements.

Responsibility for CPD must be shared. Individual lecturers are responsible for ensuring that they maintain up-to-date skills and knowledge of their subject area. College senior managers have a responsibility to ensure that staff can achieve goals that have been agreed and set. UK UCoSDA suggests that personal development plans, developed by individuals in relationship with heads of section or school, form a very effective basis for planning CPD. The implementation of CPD requires resources, staff time, equipment such as access to IT and support with books and other learning materials. Finance is usually the most contentious resource and where a programme of CPD has been agreed across an institution, funding is usually available. As the level of qualification increases, however there usually has to be a sharing of the costs. In some cases, where an individual wishes to undertake a higher degree qualification, he or she may have to contribute to the costs.

The time lecturers spend on CPD varies; Martinez (1999) found that a study of Business Studies Lecturers showed they spent on average 10 days each year on professional development, mostly in college. He also found that 53% of lecturers reported three or more days of professional development outside college and just under half of these (26%) had five or more days outside college. He found no correlation between the amount of staff training and the length of a lecturer's

experience. In a survey carried out by the Association of Colleges (1999) it was found that the average training time was between five and six days. Data from the European Union suggests that, on average, professional staff have some six days of continuing vocational training each year (European Commission, 1997).

To ensure fairness of CPD, colleges have been developing policies for staff development and codes of practice. These policies set out staff entitlements, responsibilities and methods of application and control. Staff undertaking CPD may wish to build on previous successes and this is becoming more available through accredited courses where there is the opportunity to build up points through the qualifications gained. Accreditation of prior learning (APL), which allows staff to incorporate their learning experiences as part of the process, may reduce the length of a qualification.

It is important at this stage to consider the links between CPD and performance management. UK UCoSDA suggests that there is anecdotal evidence to suggest that CPD has been a key contributory factor to higher quality of applicants for posts and lower levels of staff turnover. On an international scale, nations such as Germany, Japan and the USA have linked their relative economic success to investment in continuous professional and vocational development. Industrial companies can cite clear examples of links between CPD and better performance in terms of productivity.

In summarising this chapter, conflicting pressures on the FE lecturer have to be considered. The government, through the Scottish Executive and the Scottish Further Education Funding Council, continues to seek efficiency savings (Burchill 1998) and also to set targets of achievement. This makes it difficult for colleges to prioritise professional development and training. Guile and Lucas (1999) suggest that it is precisely because of a lack of professional standards being in place that the position of FE lecturers has been so easily subordinated to financial considerations. Huddleston and Unwin (1997) indicate that, despite all the financial problems facing

FE, the overwhelming majority of lecturers are still dedicated to helping individual students learn, progress and achieve.

Colleges are moving from a period of post- incorporation, which saw raw competitiveness (and no doubt wasteful marketing campaigns at significant cost), to a period of collaboration and co-operation. Guile and Lucas argue that government needs to develop a unified perspective on all strands of post-16 education and training. They suggest that the FE lecturers' professional interests would be better valued if there was a partnership between the GTC and FENTO. This partnership would assist in overcoming the present fragmentation and undervaluing of FE lecturers and encourage the development of FE lecturers as 'learning professionals' to ensure that all lecturers feel valued and capable of assisting students to respond to the challenges of the future. Performance management encourages and directly assists in this process; and, as funding councils increasingly see the development of performance management as an indicator of success, this in itself should motivate staff to become learning professionals.

2.3 Performance management and systems of measurement

Measuring the performance for a Further Education College has been a difficult and contentious area. Performance Indicators prescribed by the Scottish Office Education Department (1998) are used to produce statistical data which are ranked in comparison to other FE colleges. They also tend to be stand alone indicators which are linked to the strategic and operational plans of the college.

In the UK it has been argued that outcome measurement is still in its infancy and that too many Performance Indicators are poorly conceived (Smith 1992). Private sector organisations tend to focus on financial measures of performance which include profit margins and return on capital employed and earnings per share. Results are usually measured in monetary terms. There has been growing criticism of traditional management control systems which are narrowly focussed on financial measures. Goldenberg and Hoffecker (1994) indicate that information on costs, revenues and profitability provides the foundation for company decision making. Traditional

financial measures show the results of past activities. Information of this kind can lead to action inconsistent with strategic objectives. Peters (1992) points out that managers tend to focus on monthly and quarterly reports, a factor which tends to favour short term investment decisions. This short term perspective encourages manipulation of financial measures, so that financial key ratios may be misleading and lack credibility for purposes of analysis and decision making. Shank and Govindarajan (1993) also indicate that financial measures are meaningless to a large part of the organisation who do not see how their work is related to the financial information shown. Public sector organisations may measure actual expenditure against budget and cost reductions. FE colleges are not profit centred and therefore are more concerned with efficiencies such as how much curriculum can they deliver on the funding which has been provided by the Funding Council.

Heyneman and Ranson (1990) take the view that academic achievement determines the eventual economic benefits of education and Ashcroft and Foreman-Péck (1995) indicate that the Government is increasingly interested in higher and further education as an engine for growth in the economy. It is not the intention of this study to examine specifically the links between assessment and the performance of lecturers. Where assessment can be clearly linked to the achievement of students the achievement and success of students will be a significant area of performance measurement. Lecturers have to consider their assessment strategies as a result of the on-going development of vocational qualifications and Government targets. It is a government aim that 50% of students on NVQ/SVQ courses should have reached Level 3 by the year 2000. Developments such as this have implications for assessment and teaching methods. Students need to know the purposes of particular forms of assessment that are used. Ashcroft and Foreman-Péck (1995) reinforce the link of assessment between the lecturer and student. A successful assessment scheme demonstrates coherence across the department or lecturing team; innovations in assessment, however may be driven by the learning needs of external agencies. One teamwork approach which a performance management system encourages can be in the development of assessment. Otter (1992) suggests that innovations by individual lecturers are likely to have limited impact or fail

altogether, whereas a joint approach correctly validated will be more successful. While assessments should enhance learning, as a general principle, the purpose of assessment is to enable students to demonstrate that they have fulfilled the objectives of a programme of study. The results of the students' work is now used as a Performance Indicator to enable comparisons to be made between individuals, teams and colleges with the overall purpose of improving educational quality. Heyneman and Ransom (1990) indicate that examination agencies have an important role to play in increasing the effectiveness of educational provision by acting as retrospective evaluators of educational achievement.

Armstrong and Baron (2000) point out that 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; and it indicates where things are not going so well, so that corrective action can be taken. In general, it provides the basis for answering two fundamental questions. "Is what is being done worth doing?" and "Has it been done well?" Armstrong (2000) states that if you can't measure it, you can't manage it and what gets measured gets done.

This view repeated in much of the literature relating to performance management, can originally be referred to the work of Kaplan and Norton (1996).It is not normally quoted in the text of other quality system writers however due to its contentious view.

Performance measurement is therefore required as a means of ensuring that there is accountability and that an organisation is providing the best value for the money which is invested in it. The performance of an organisation is a reflection of its management. Hope (1998) points out that business should be value-driven rather than cost driven. Value-based management is a philosophy of improvement while cost-based management is a philosophy of control. Given that management style reflects the performance of an organisation, a management style which is open, encourages development of its staff and promotes teamwork is more aligned with a

value-based management approach. Hope (1998) also stresses that 1) every business has a unique value proposition which defines the value it uniquely delivers to its customers and 2) that people cannot focus on value-added work if value-added has not been defined. He also identifies problems associated with over-measurement. Measures do not relate to strategy, measures are results based and do not tell managers how the results were achieved and measures do not support a team based management structure.

Colleges have to work within the framework of Performance Indicators proposed by the Funding Council. Although these indicators themselves are under review, the review looks like producing additional or alternative performance indicators. Armstrong and Baron (2000) suggest that performance measures should be related to strategic goals and measures which are significant to an organisation and which drive business performance. They should also be relevant to the strategic aims of teams, focusing on measurable outputs, accomplishments and behaviours that can be defined and which can be supported by clear verifiable evidence. Performance measures should support teams by providing feedback which can be used to inform action plans which are owned by teams. Walters (1995) suggested that effective performance is measured not merely by the delivery of results, but by delivering satisfactory performance across all measures. Colleges are continuously measured through Performance Indicators These indicators tend to be disparate and difficult for teams to focus on while managers who are responsible for specific performance indicators tend to focus on these to the exclusion of others. This can lead to uncoordinated action where one manager may not be aware of the plans of the other and how it will impact on other areas and teams. The reason for this is that individuals tend to be more concerned with measurement and quantification. Levinson (1970) asserted that the greater the emphasis on measurement and quantification, the more likely the subtle, non-measurable elements of the task will be sacrificed. Teams need to know how their work and effort impacts on a wide range of measures if they are to be successful.

Porter (1985) devised a "value chain " model which identified the processes which would generate the right forms of value for customers. The model was found to be useful for this purpose, identifying all processes from customer needs to the delivery of the product or service. These processes are then analysed in further detail in order to identify and remove all which do not directly or indirectly create value for the customer.

Many performance measures use historic data. This tells an organisation how it has done in the past rather than indicate how well it has to perform in the future to achieve its strategic goals. If performance measurement is to be effective, it needs to be forward looking as well as historic. Jackson (1993) stated performance indicators play an important role in organisational learning processes.

Bourne and Bourne (2000) state that a good measurement system will help an organisation to establish its current position, to communicate direction, to stimulate action, facilitate learning and influence behaviour; whereas a badly constructed performance measurement system will destroy performance by encouraging emphasis on the wrong activities.

Within the quality framework of Further Education colleges, performance indicators are important, but are dealt with in an isolated manner. Academic schools in the College report, on an annual basis, their success in achieving the various indicators. These indicators are then compared on a national basis. Other areas of the college do not have specific indicators to report on but are encouraged to meet objectives which are included in the College Strategic and Operational Plans. There is little coherence between the various elements which make up the structure of these plans and this makes robust measurement difficult.

For performance management to be successfully introduced, a system of performance measurement is pre-requisite. This requires an approach which identifies and sets goals, performance targets and success criteria which can then be evaluated. There are various models which measure performance and, in deciding

which model would be most applicable and beneficial to use in a further education context, the following were reviewed.

- EFQM model: The European Foundation for Quality Management www.efqm.org
- The SMART system: Strategic measurement and analysis reporting technique Lynch and Cross (1991).
- TQM: Total Quality Management.
- The balanced scorecard. Kaplan and Norton (1996).

My reasons for investigating these quality systems were that in all colleges there is a comprehensive quality system usually led by a quality manager. The EFQM model has been implemented in one other college that I am aware of. A system of TQM would fit well with existing quality systems. The SMART system would also be readily adaptable to the measurement of performance indicators in a college and it would be relatively easy to adapt it to existing quality reporting systems. The detail of these systems is discussed in the following sections of this chapter, however each of these systems had interesting features which could be useful in a performance management system. However, in the final analysis three were considered not to be appropriate to the success of implementing a performance management system which would be team based. The EFQM and TQM models are in themselves control systems, they are suitable for an environment where measurement is a feature of the control system. Quality then becomes the focus for the organisation. Peters and Waterman (1982) give an example of how an organisation can become obsessed with quality. "A quality focus is ubiquitous in Hewlett-Packard because the employees don't seem to be able to separate it from anything else they are doing. If you ask them about personnel, they talk quality. If you ask them about field sales, they talk quality. If you ask them about management-by-objectives, they talk about quality by objectives."

This quotation summarises what I considered to be the likely outcome of introducing another quality system. The focus of staff would move from one single objective which was development to another single objective which would be quality. It was for this reason that both of these models were discounted. The SMART model was discounted for different reasons. The model is based on a hierarchical structure driven from the top. This feature alone meant that it would not fit into the team structure which had been developed in the college. Staff would only be involved at the level that was appropriate to their position in the college. The hierarchical management structure which had existed previously in the college, had effectively been dismantled and replaced with the team system. The pyramid structure represented old fashioned thinking therefore it was for this reason that this model was also discounted. Having discounted the quality system models the remaining option was the Balanced Scorecard approach. The concept of this is discussed in detail later in this chapter, however it was quickly realised that this would be the appropriate model to use. It would foster teamwork and bring a balanced view to setting operational planning objectives. There was growing evidence of it being used successfully in various different types of organisations. It did not have the self possessing culture that is found in a system where quality is the only objective. The advantages over the other models outweighed any potential disadvantages which were largely developmental issues. It was for these reasons it was decided that the Balanced Scorecard approach would be relevant.

2.3.1 EFQM model

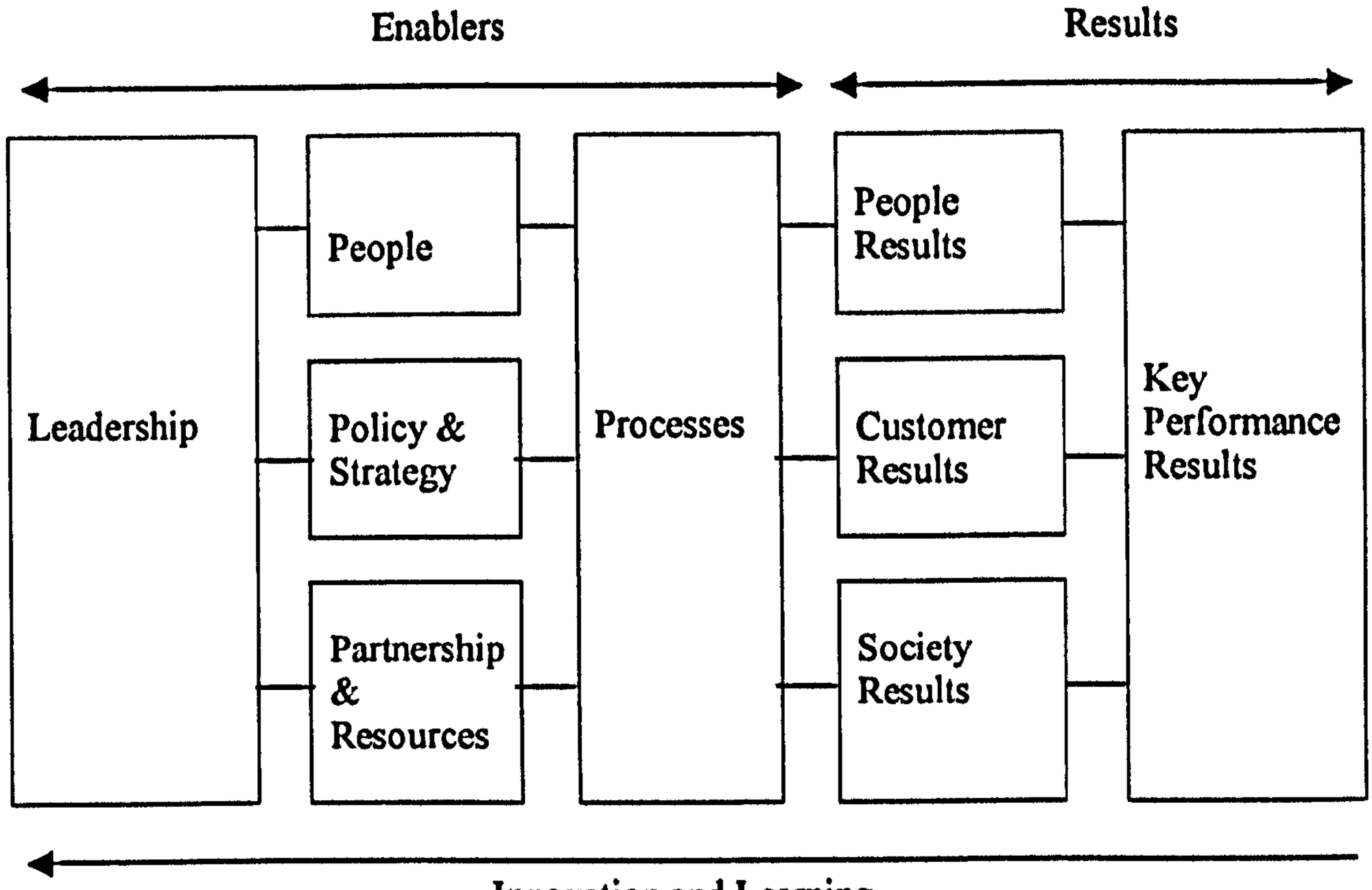
This model indicates that customer satisfaction, people satisfaction and impact on society are achieved through leadership. It is a framework used primarily as a self-assessment benchmarking tool which drives the policy and strategy, people management, resources and processes leading to excellence in business results. The EFQM model shown in the following diagram Figure 2.1, divides up the business into nine activities; "enablers of performance" and "results" are used to categorise these activities. Enablers include processes, leadership and people management.

The results side of the model looks at financial performance, people, customer and society results. Innovation and learning support all of the activities.

Figure 2.1

The EFQM Model (adapted from www.EFQM.org).

Source: Bourne and Bourne (2000).



Thomas (1995), commenting on EFQM states that organisations who adopt the model accept the importance of performance measurement and work all the time to improve the usefulness of their measures; but they also recognise that simply measuring a problem does not improve it. Managers can often devolve their best energies to the analysis, leaving little time for the remedy.

One fear of introducing the EFQM model as the means of measuring performance management is overloading the quality system. Quality control is a major focus of college systems, with staff subjected to rigorous quality standards imposed by HMI,

SQMS Quality Audit, SQA and systems of internal and external verification. Staff would resist the imposition of another quality standard. Thomas (1995) does, however, suggest that the EFQM model can help performance management by developing an understanding of how business results are achieved, while processes are improved by promoting performance management as a two-way dialogue.

2.3.2 The SMART system (performance pyramid)

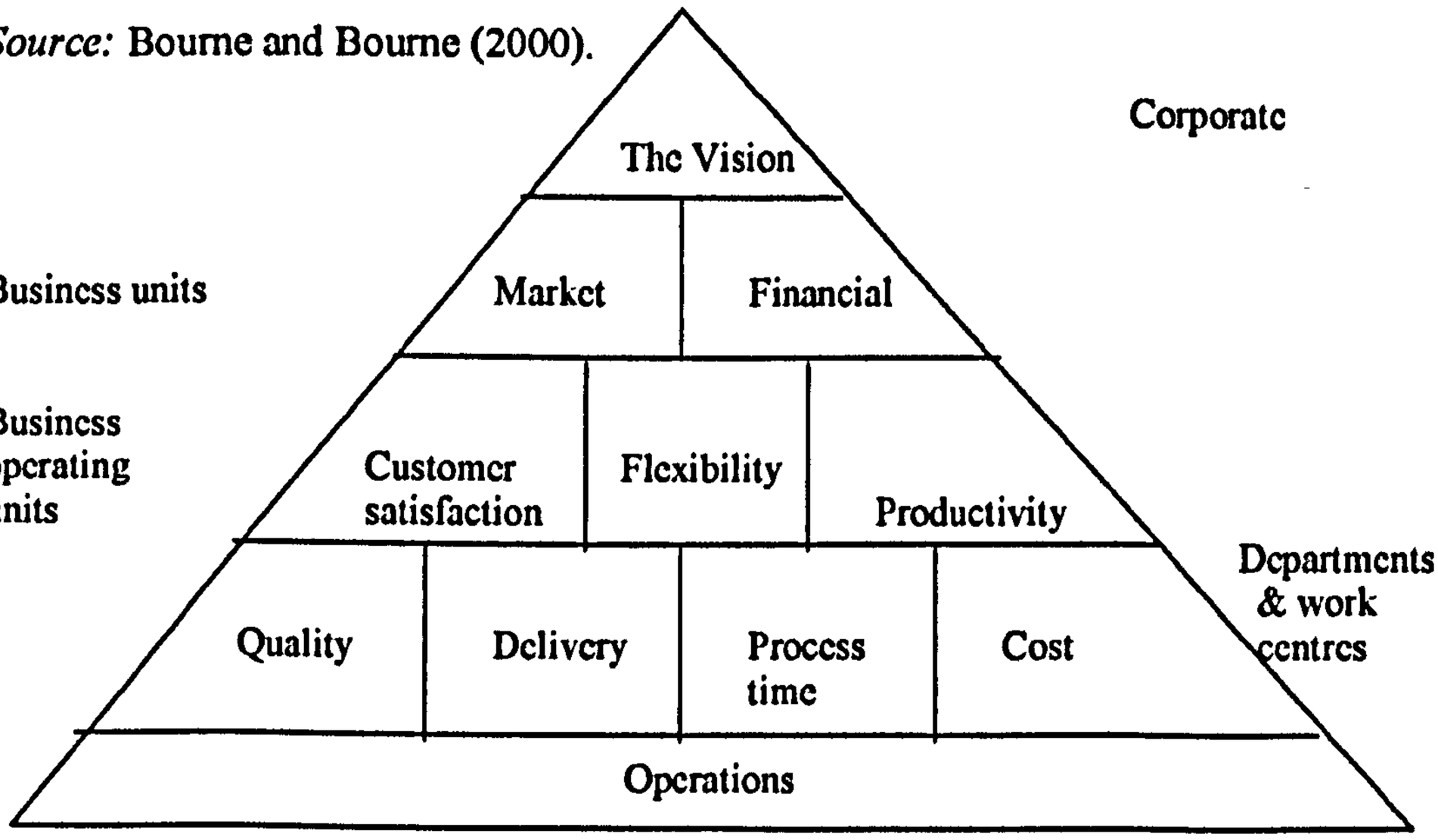
This system was developed in the Wang Laboratories where there was dissatisfaction with traditional performance measures.

Lynch and Cross (1991) display the concept in the form of a pyramid shown in Figure 2.2. There is a hierarchy of measures commencing with vision at the top. This is the corporate level from which business objectives are defined and resources allocated. The level below this is defined as the business unit level where objectives are defined in terms of market and financial performance. Third level measures are operating systems of customer satisfaction, flexibility and productivity. The lowest level represents departments and work centres.

Figure 2.2

Smart Performance Pyramid (adapted from Lynch & Cross, 1991).

Source: Bourne and Bourne (2000).



The concept of this model is that, as measures are cascaded down in a business, they need to be relevant to each level of the business. Senior managers deal with strategic and corporate objectives, whereas those who are lower down in the hierarchy may have no wish to be involved at this level, preferring to deal with the factors of the hierarchy which are relevant and meaningful to them.

This framework represents a style of organisation which has an autocratic and hierarchical style of leadership and control. It does not allow those at the lower levels of the hierarchy to contribute to strategic planning and be involved in decision making which would affect their future strategic direction. This may be what some people who do not want authority and prefer to work on single units or areas where there is little opportunity of teamwork, want.

In some of the support staff areas of the college I can see this framework operating. There are examples where local managers actively encourage in their department a structure which has a similar profile in terms of leadership and operation. These managers are seen to be generally autocratic and resistant to change. As a result, this framework would not suit the concept of performance management and, therefore, has to be rejected as a method of measuring performance.

2.3.3 TQM – Total Quality Management

Colleges, through pressure from HMI and the Funding Councils, have placed considerable emphasis on monitoring their processes and achievements through Performance Indicators. Performance Indicators are generally a guide to the efficiency of processes. Sallis (1993) indicates that performance indicators provide only rudimentary measures of the quality of learning, or of the effectiveness of the institution in meeting its customers needs and suggest that the institution should look seriously at TQM as a means of improving their standards of service.

TQM is a practical strategic approach to meeting the needs of customers and clients. It puts learners first, followed by teams which comprise lecturers and support staff,

then leaders. It follows the model of an inverted pyramid. TQM culture is one where senior and middle managers act in a support role and empower teaching and support staff, not control them. Constant innovation, improvement and change are stressed while a continuous improvement culture and a high level of trust between staff exists at all levels. Sallis (1993) emphasises that TQM is a philosophy of continuous improvement which can provide any educational institute with a set of practical tools for meeting and exceeding present and future customer needs, wants and expectations.

TQM requires a change of culture in an institution, which is usually difficult to achieve and takes some time. Attitudes and traditional working methods have to change and staff have to accept that there needs to be a very strong customer focus. This in itself is not usually enough. Systems and strategies which are customer orientated have to be planned and introduced. Managers have to trust staff and accept that staff are empowered to make decisions, especially at the customer level, without having to refer to authority.

It is the change from a hierarchical approach with the potential of a loss of status by managers that can cause one of the biggest barriers to the introduction of TQM. Staff themselves may fear the consequences of empowerment and there will always be a certain amount of scepticism and cynicism by staff who may not be able to grasp the change and see the long term benefits.

TQM is often used as a marketing tool by many organisations and quality kite marks are to be seen on stationery and incorporated into advertisements. The reason behind this is to impress clients that the organisation has a quality system superior to that of an organisation which does not have the award. As education is about learning, TQM has to address the quality of learning if it is to be successful. Performance management can support TQM when it is applied in an educational context by recognising that everyone in a college is a customer with customer expectations. Armstrong (2000) indicated that, whilst TQM promotes the customer focus, performance management can support total quality management processes by

emphasising the importance of continuous improvement and achieving improvements through a partnership between managers, their teams and individuals in those teams. Guin (1992) recognised that the process of performance management actually reinforces TQM because it gives managers the skills and tools to carry out the management part of TQM. Performance management can enable managers to sustain TQM as a vital part of the organisation's culture. Teams are an integral part of a college, therefore TQM within a framework of performance management would give a broader balance of measures to gauge learner success than would the application of TQM on its own.

2.3.4 The Balanced Scorecard approach

The concept of the balanced scorecard was developed by Kaplan and Norton (1996). It was their view that no single measure can provide a clear performance target on the critical areas of business. Managers want a balanced presentation of both financial and operational measures.

The Balanced Scorecard is a conceptual framework for translating an organisation's vision into a set of performance indicators in the context of four perspectives: financial , customer, internal business processes, and learning and growth. For each perspective there are clearly identified strategic aims, critical success factors and measures of success. Kaplan and Norton emphasise that the Balanced Scorecard approach puts strategy and vision, not control, at the centre. The objectives and measures of the scorecard are derived from an organisation's vision and strategy and captures the critical value-creation activities created by skilled, motivated organisational participants. The Balanced Scorecard emphasises that financial and non financial measures must be part of the information system for employees at all levels of the organisation. The objectives of the Balanced Scorecard are derived from a top down process driven by mission and strategy. Kaplan and Norton suggest that the Balanced Scorecard should translate an organisation's mission and strategy into tangible objectives and measures. The measures represent a balance between external measures for customers and internal measures of critical business processes,

innovation, learning and growth. The measures are balanced between outcome measures, the results from past efforts, and the measures that drive future performance.

Kaplan and Norton state that the scorecard is more than a tactical or an operational measurement system. It is a strategic management system to manage strategy and the critical management processes of clarifying and translating vision and strategy. It is a system of communicating and linking strategic objectives and measures, to teams and individuals. It provides feedback and learning about the strategy. The real power of the Balanced Scorecard occurs when it is transformed from a measurement system to a management system.

The Balanced Scorecard is particularly relevant to organisations which do not rely entirely on profit and production as their strategic aim. The Accounts Commission for Scotland (2000) recognises that measuring the performance of public sector organisations has always been a difficult and contentious area. With continuing pressure for accountability and value for money, however it is one which requires increasing management attention. McWilliams (1996) reinforces the argument for using the Balanced Scorecard approach. The balanced scorecard is perhaps the best means available to gain consistent alignment between strategic vision and its execution.

This study will develop the concept of the Balanced Scorecard to produce a scorecard applicable to the context of a Further Education College.

The four perspectives identified by Kaplan and Norton are:

- Financial Perspective
  To be successful how should we appear to those who provide our financial resources?
- Customer Perspective

To be successful how should we appear to our customers and key stakeholders?

- Internal Process Perspective
  To be successful which business processes should we be good at?

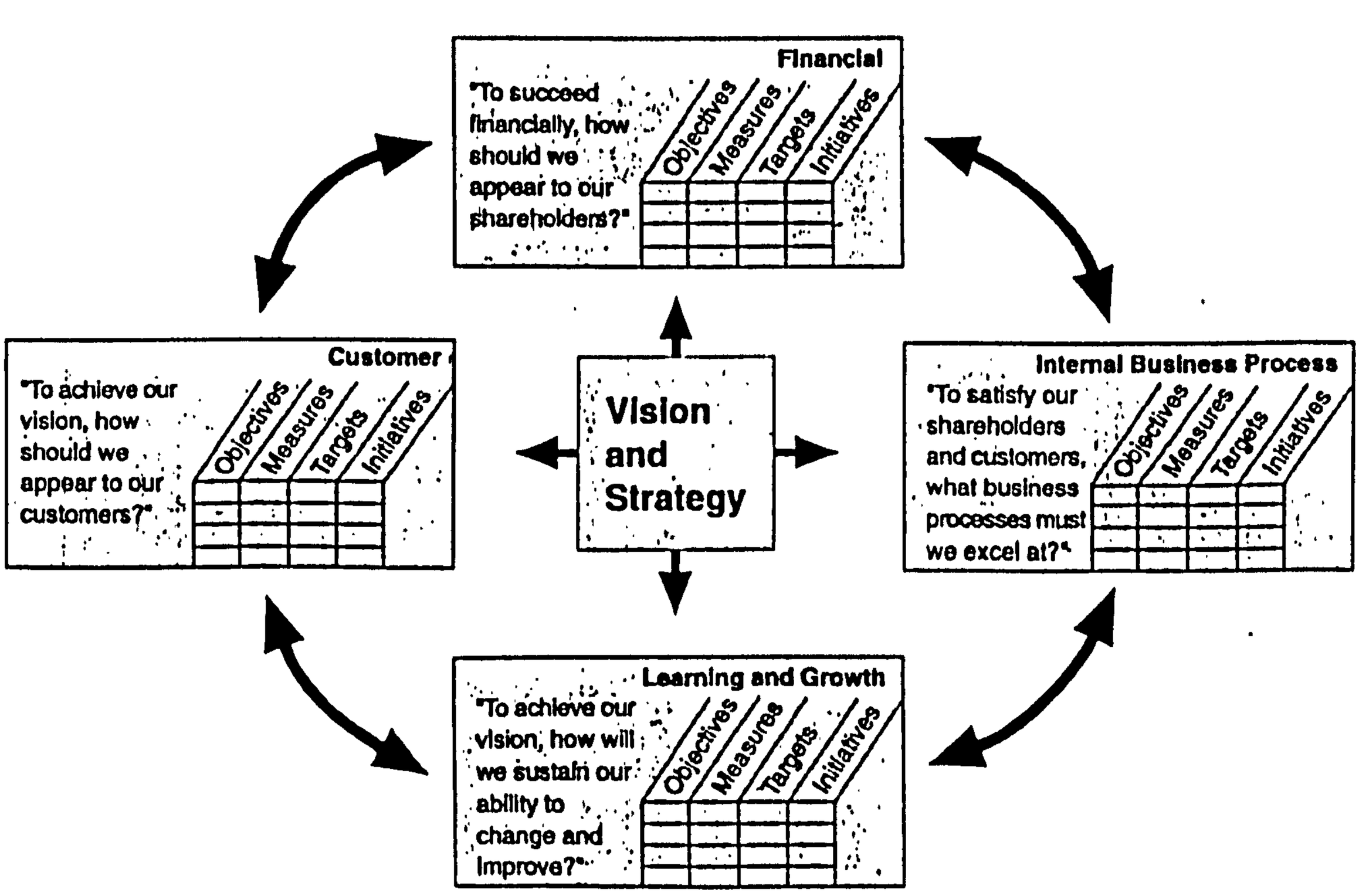
- Innovation and Learning Perspective
  To be successful how will we sustain our ability to learn and improve?

Kaplan and Norton show in diagram Figure 2.3 the relationship of the four perspectives.

Figure 2.3

The Balanced Scorecard provides a framework to translate a strategy into operational terms.

Source: Robert S. Kaplan and David P. Norton, "Using the Balanced Scorecard as a Strategic Management System," *Harvard Business Review* (January-February 1996): 76.



These four perspectives represented a balanced view of the organisation and provided a framework for the development of a scorecard. In some organisations more than four perspectives have been developed but this does not exceed five in the many examples which were looked at for this study. Organisations themselves have to decide what the specific measures will be and this may differ between organisations.

The Balanced Scorecard enables employees to develop a better understanding of their own organisation. Daily operations are based on a shared view of the direction in which the organisation is going towards achieving its vision and mission statement. Employees will be able to see how they themselves exercise control and will therefore become more highly motivated and develop a better understanding of their organisation. They will become more open to change and participative in implementing company decisions.

Kaplan and Norton state that the scorecard provides a framework- a language to communicate mission and strategy. Using measurements to inform employees about the drivers of current and future success, most importantly, the Balanced Scorecard develops a communication, informing and learning system rather than a controlling system.

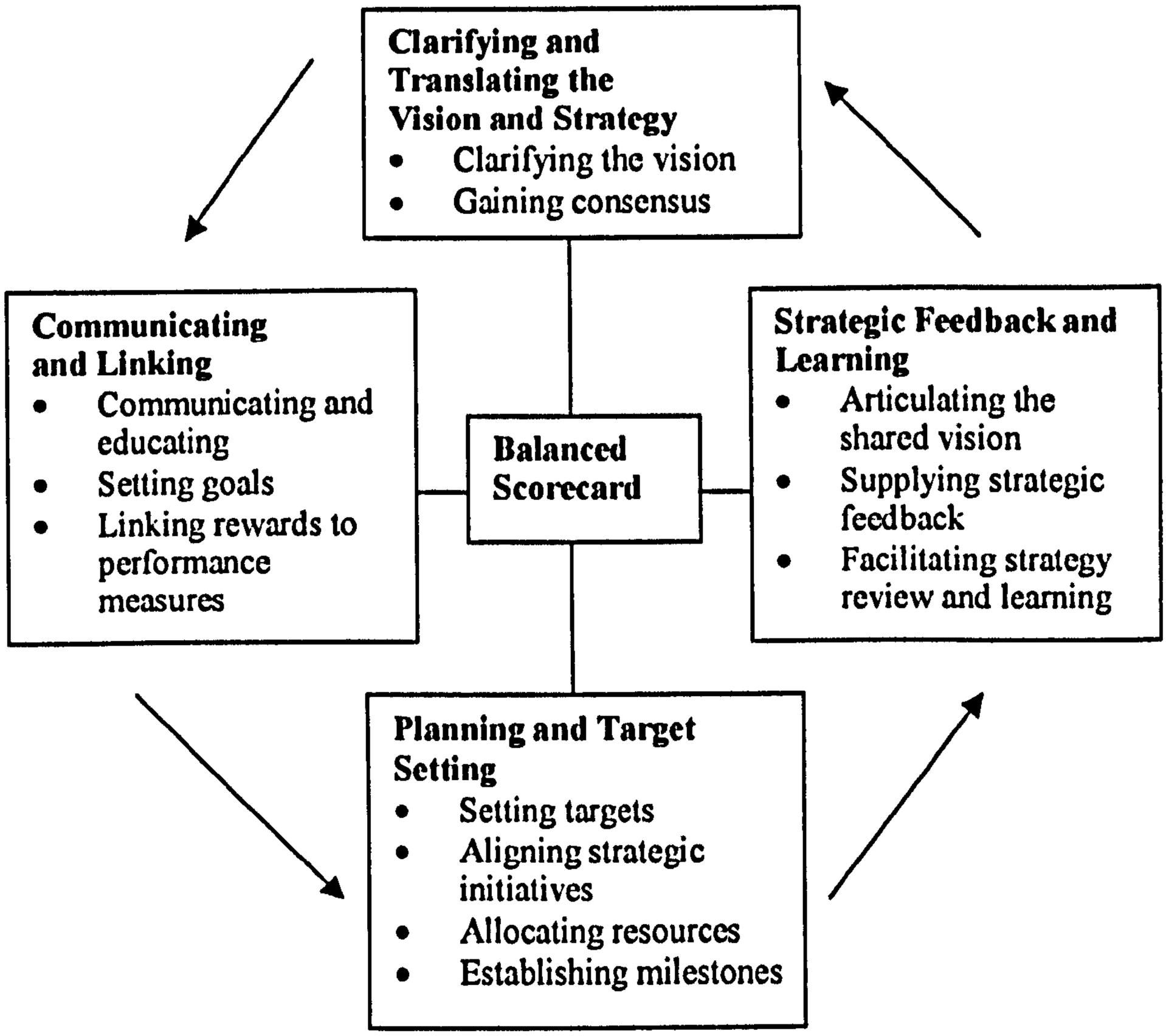
The four perspectives proposed by Kaplan and Norton balance short and long term objectives, hard objectives and subjective measures.

Kaplan and Norton emphasise that the Balanced Scorecard should translate a business units' mission and strategy into tangible objectives and measures. The measures represent a balance between external measures for shareholders and customers and internal measures of critical business processes, innovation, and learning and growth. The Balanced Scorecard is not just a practical or operational measurement system; it is a strategic management system used to manage strategy over the long term, 3-5 years. Using the Balanced Scorecard as a strategic framework for action is shown in the following diagram Figure 2.4.

Figure 2.4

The Balanced Scorecard as a strategic framework for action.

Source: Robert S. Kaplan and David. P Norton, "Using the Balanced Scorecard as a Strategic Management System," *Harvard Business Review* (January-February 1996): 77.



The process starts with the senior management team determining specific strategic objectives. This enables the measurement focus of the scorecard to determine the following critical management processes.

1. Clarifying and translate vision and strategy.

2. Communicate and link strategic objectives and measures.
3. Plan, set targets, and align strategic initiatives.
4. Enhance strategic feedback and learning.

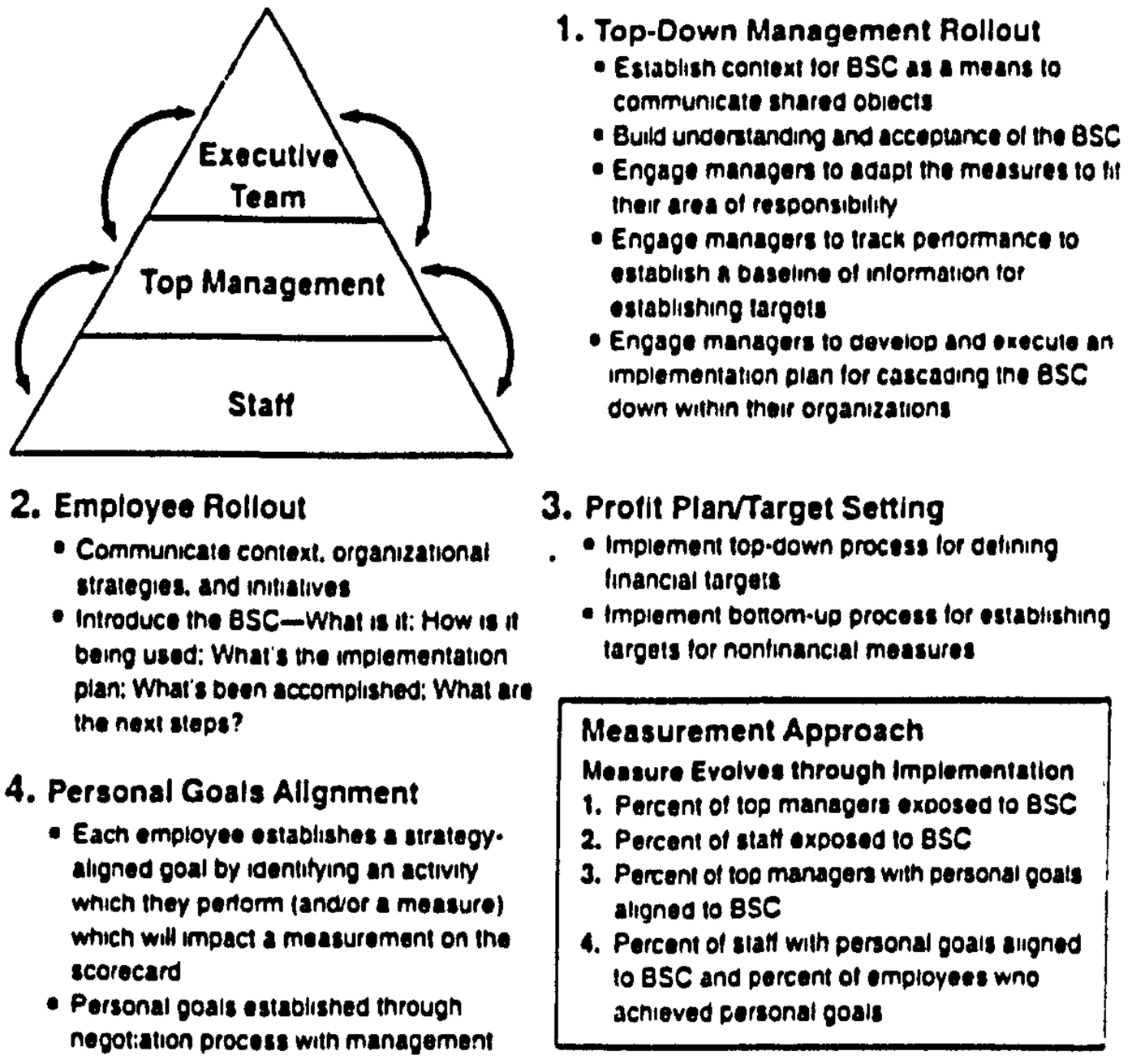
Kaplan and Norton indicate that the process of building a scorecard clarifies the strategic objectives and identifies critical drivers of the strategic objectives. The fact that the scorecard is developed as a team project therefore creates a shared model of the entire business to which everyone has contributed. The scorecard objectives become the joint accountability of the senior management team enabling it to serve as the organisation framework for a broad array of team-based management processes.

The Balanced Scorecard's strategic objectives and measures have to be communicated to all employees to ensure that they are aware of the critical objectives which have to be achieved if the organisation's strategy is to succeed. Kaplan and Norton show this process diagrammatically as follows in Figure 2.5.

Figure 2.5

Personal goals alignment and measurement concept.

Source: Translating Strategy into Action The Balanced Scorecard, Robert S. Kaplan and David P. Norton, 1996 p140.



The conclusion of the communication and linkage process will ensure that everyone in the organisation should understand what the long term goals are as well as the strategy for achieving these goals. Individuals will also understand how they will also contribute towards achieving these goals.

The Balanced Scorecard is particularly effective when it is used to drive organisational change. Targets are set for the scorecard measures which if achieved will lead to organisational change. The process of planning and target-setting using scorecard measures enables an organisation to

- quantify the long term outcomes it wishes to achieve
- identify mechanisms and provide resources for achieving these outcomes
- establish short term milestones for the financial and non-financial measures on the scorecard.

The final management process embeds the scorecard in a strategic learning framework. Kaplan and Norton consider this to be the most innovative and most important aspect of the entire scorecard management process. Management reviews and updates move from reviewing the past to learning about the future. Managers discuss not only how fast results have been achieved but also whether their expectations for the future remain on track.

It is likely that environments will change during the lifetime of a strategy. Opportunities and threats will arise which were not anticipated. The fact that all employees are aware of the strategy enables managers, team leaders and individuals to provide ideas for seizing new opportunities to counter threats and seize opportunities (Simons, 1995).

Argyris and Schon (1996) cited by Kaplan and Norton, argue that organisations need the capacity for double-loop learning. Double loop learning occurs when managers

question their underlying assumptions and reflect on whether the theory under which they were operating remains consistent with current evidence, observation and experience. Managers receive feedback about whether their planned strategy is being executed according to plan – the single loop learning process. It is more important, however, to consider if as a result of the feedback they are receiving whether the planned strategy remains a viable and successful strategy – the double loop learning process.

Kaplan and Norton indicate that a properly constructed Balanced Scorecard articulates the theory of the business. The scorecard should be based on a series of cause-and-effect relationships derived from the strategy. The Balanced Scorecard is a new framework for integrating measures derived from the strategy; it fills a void that exists in most management systems – the lack of a systematic process to implement and obtain feedback about strategy. The real power of the Balanced Scorecard, however, occurs when it is transformed from a measurement system to a management system. The Balanced Scorecard can be used to achieve the following

- clarify and gain consensus about strategy
- communicate strategy throughout the organisation
- align departmental and personal goals to the strategy
- link strategic objectives to long term targets and annual budgets
- identify and align strategic initiatives
- perform periodic and systematic strategic reviews
- obtain feedback to lean about and improve strategy.

Management processes built around the scorecard enable the organisation to become aligned and focussed on implementing the long term strategy.

Olve, Roy and Wetter (2000) have examined the application of how the Balanced Scorecard has been used by various organisations. They were less concerned with the theory of the Balanced Scorecard and more involved in the practical application in various organisations.

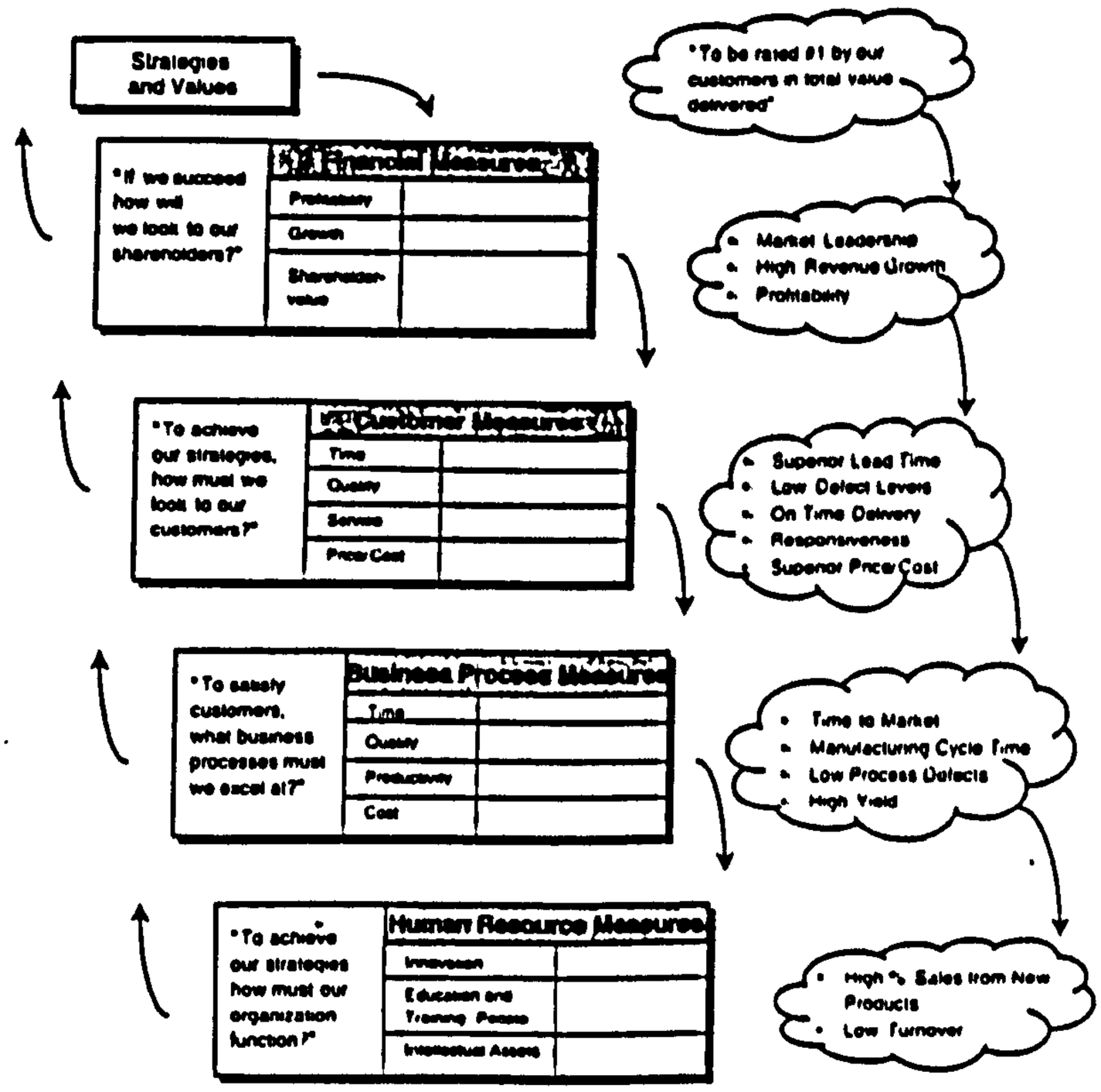
Earlier in this chapter various models of performance management were reviewed however it is important to also review alternative models to the Balanced Scorecard.

Olve, Roy and Wetter cite the scorecard produced by Maisel (1992). Maisel also uses the same name as the Kaplan and Norton model and he also has four perspectives from which the business should be measured as can be seen in the following diagram Figure 2.6.

Figure 2.6

Maisel's Balanced Scorecard.

Source: A Practical Guide to using the Balanced Scorecard, Nils-Göran Olve, Jan Roy and Magnus Wetter (2000 p20).



Maisel does not use a learning and growth perspective instead he uses a human resource perspective in his model. In this perspective he measures innovation as well as factors like education and training. Maisel's reason for using a separate employee perspective is that management should be attentive to and should measure the effectiveness of an organisation and its people.

Adams and Roberts (1993) provide another model which they call EP²M (effective progress and performance measurement). According to Adams and Roberts it is important above all to measure what the company does in four areas:

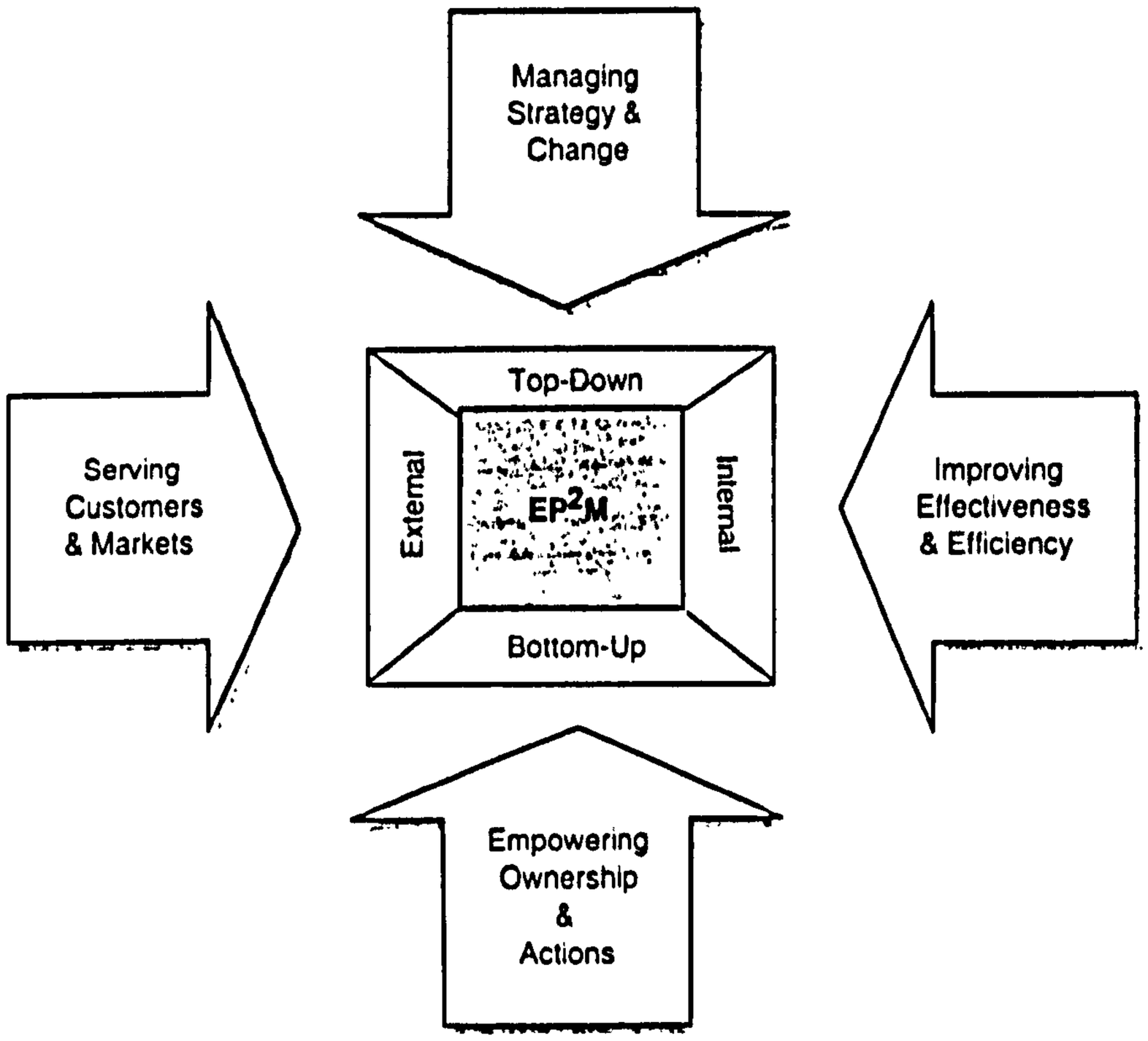
- External Measures – serving customers and markets
- Internal Measures – improving effectiveness and efficiency
- Top-down measures – breaking the overall strategy down and speeding the process of change
- Bottom-up measures – empowering ownership enhancing freedom of action.

Adams and Roberts model is shown in the following Figure 2.7.

Figure 2.7

Adams and Roberts EP²M Model.

Source: A practical guide to using the Balanced Scorecard, Nils-Göram Olve, Jan Roy and Magnus Wetter (2000 p23).

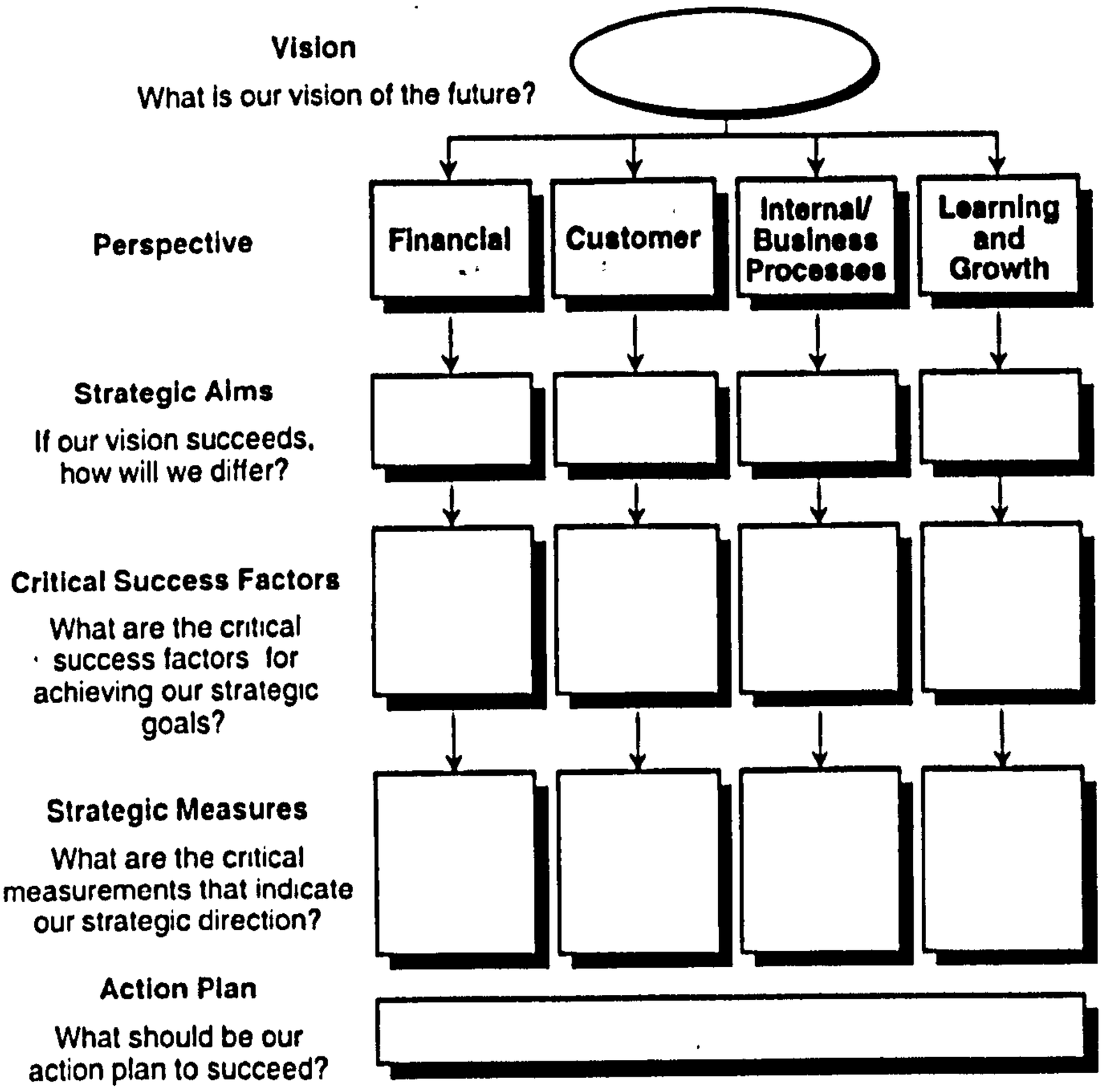


According to Adams and Roberts, the purpose of a measurement system is not only to implement the company's strategy but also to foster a culture in which constant change is a normal way of life. Effective measures should permit review and provide decision makers and strategic planners with rapid feedback.

The Balanced Scorecard developed by Kaplan and Norton provides the model which other scorecards have been developed from. Figure 2.8 shows the model developed by Kaplan and Norton.

Figure 2.8

Comprehensive view of the process. Adapted and reprinted by permission of Harvard Business Review. Exhibit from "Putting the balanced scorecard to Work" by Robert S. Kaplan and David P. Norton, September-October 1993, p. 139.
Source: A Practical Guide to using the Balanced Scorecard, Performance Drivers Nils-Göram Olve, Jan Roy and Magnus Wetter (2000 p42).



Commencing at the top of the model is the organisation's vision. The vision is the organisation's ultimate goal in what it wishes to achieve. The vision is communicated to and shared with all employees, in some organisations this is also known as the mission statement. The next level descending downwards identifies the perspectives. Many organisations use the perspectives identified by Kaplan and Norton however this is not always the case. The perspectives identify the essential

components which lead to the achievement of the vision of the organisation. Each perspective is expressed as a number of strategic aims which are specific to achieving the vision. Critical success factors are factors which are most critical for the success of the organisation. Strategic measures are the measures and goals which have to be set if the critical success factors are to be achieved. Finally the action plan describes how the organisation is going to achieve its plans and identifies who is responsible for achieving specific actions.

The scorecards developed by organisations broadly follow the Kaplan and Norton model however the following models developed by different organisations clearly show how the model can be adapted.

Olve, Roy and Wetter (2000) examined and evaluated the following organisations scorecards.

The Halifax is a well known UK company. It decided to develop a new performance management system based on the balanced scorecard approach early in 1994. the main goals of the system were to:

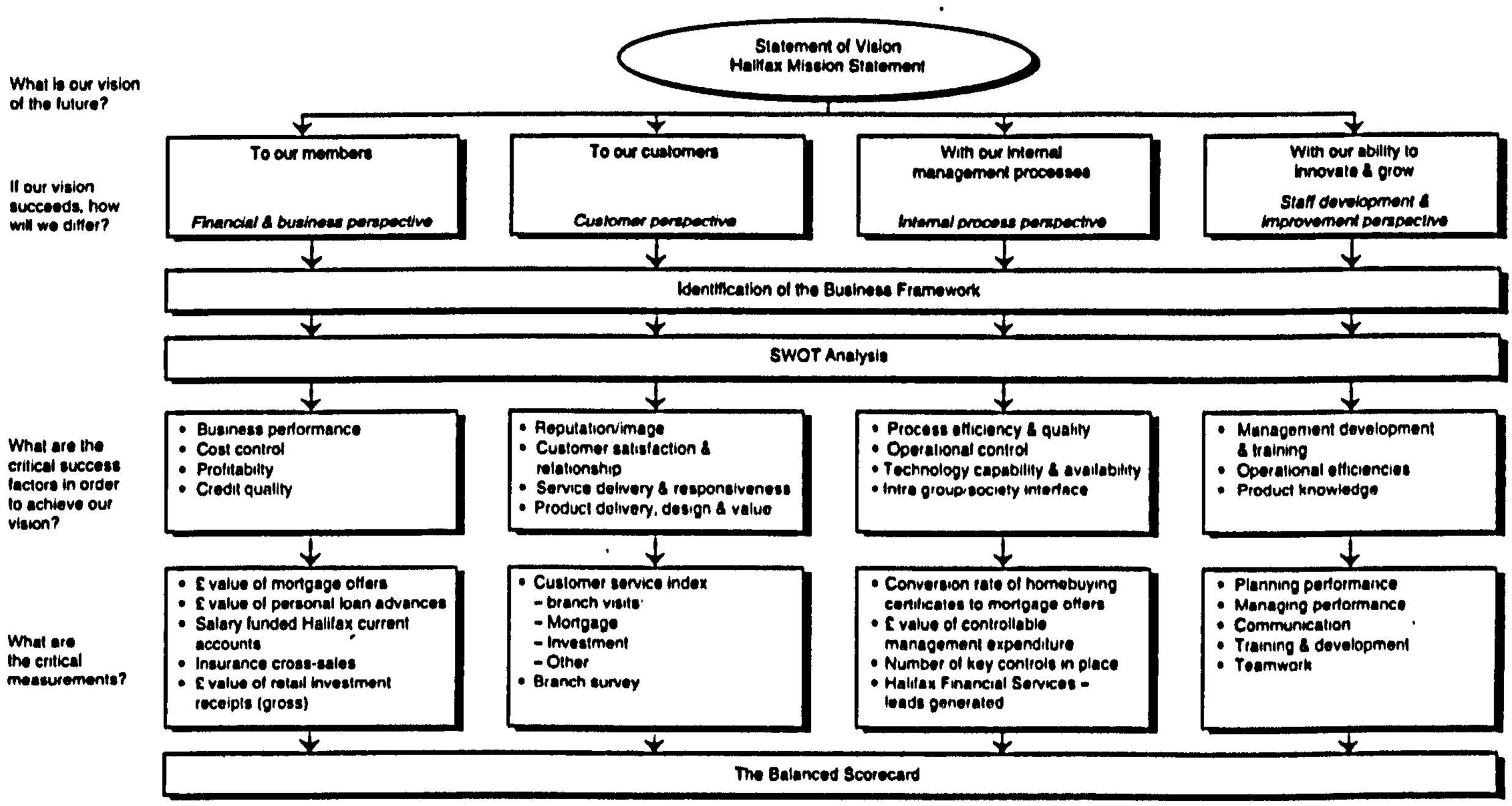
- Keep existing customer and do more business with them
- Win new customers
- Promote a positive culture
- Improve management and branch performance
- Emphasise customer and service objectives
- Encourage employee development
- Reduce paperwork

The development of the scorecard identified four perspectives and these can be seen in the following Figure 2.9.

Figure 2.9

Halifax Balanced Scorecard.

Source: A practical guide to using the Balanced Scorecard, Performance Drivers Nils-Göram Olve, Jan Roy and Magnus Wetter (2000 p92).



The Halifax developed between 2-5 measures in each perspective with a total of 16 measures for the whole scorecard. Many of the measures are checked in a daily basis with those relating to customers updated twice a year. The scorecard was developed as an operational management system. Objectives for each measure are set once a year but reviewed quarterly. Every measure has an "owner" who is responsible for planning, managing, recording and improving the measure.

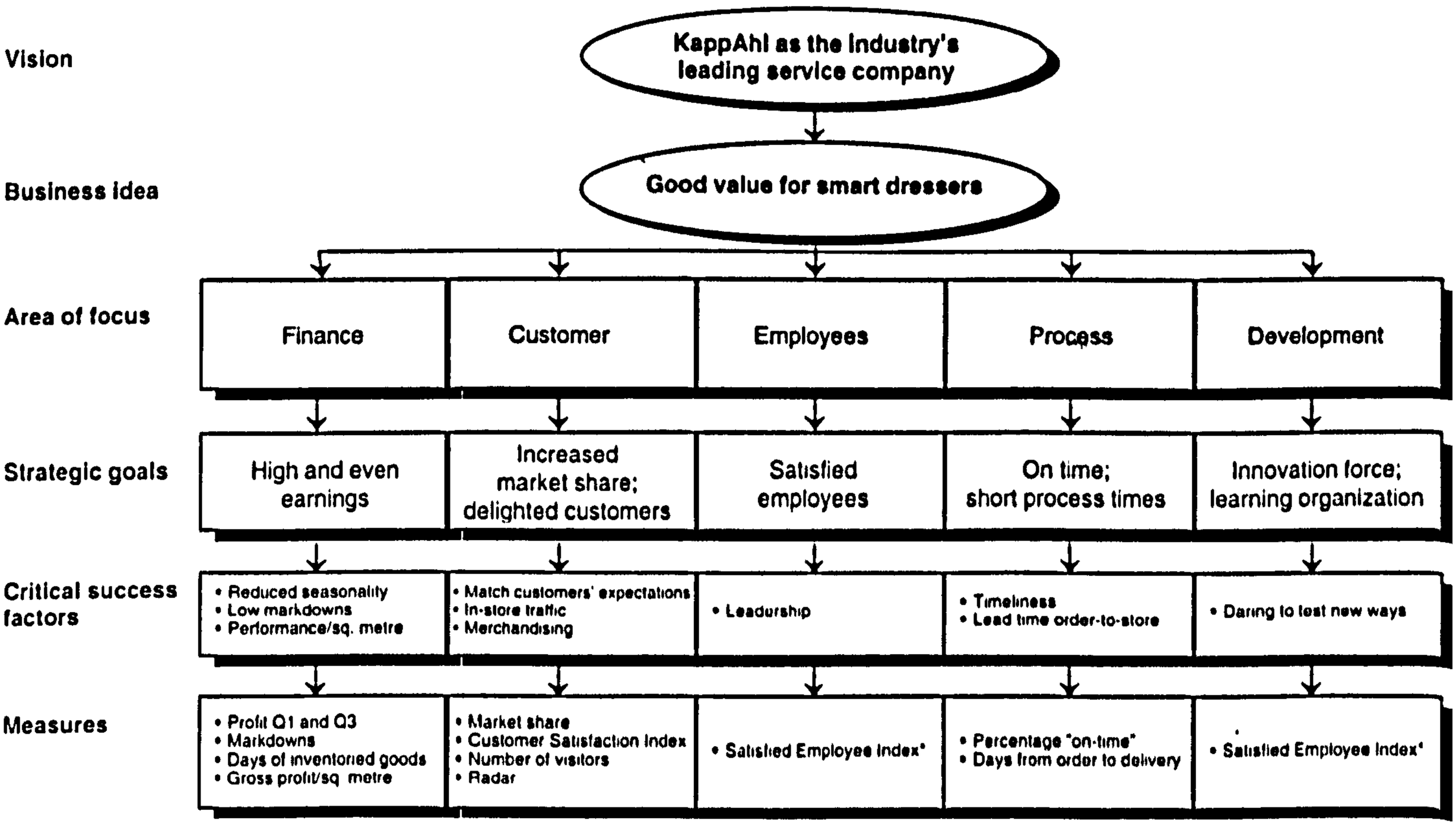
A balanced scorecard which has five perspectives has been developed by a Swedish company Kappall which is a retail clothing chain. Kappall developed their scorecard during the period 1995/96. It followed the development model of using a team of employees to revise and develop the vision and mission statement. Kappall included a fifth perspective which was an employee or human perspective. Olve, Roy and

Wetter (2000) argue that in their opinion any change in perspectives from the original Kaplan and Norton model should be based on strategic reasons and that there is seldom a need for a separate employee perspective, since the employees are already considered as resources. The Kappall balanced scorecard is shown in the following Figure 2.10.

Figure 2.10

Kappall's Overall Balanced Scorecard.

Source: A practical guide to using the Balanced Scorecard, Performance Drivers Nils-Göram Olve, Jan Roy and Magnus Wetter (2000 p75).



It took until 1997/98 to fully introduce the scorecard to all of its stores. Initially staff were sceptical, the concept of the scorecard was unknown and staff had worked with TQM and a number of other change methods. The success of implementing the balanced scorecard at Kappall is given to the managing director and the scorecard development group. Business development, planning and monthly follow-up are based on the scorecard of each unit.

Olve, Roy and Wetter summarise that the concept of the balanced scorecard is no guarantee of a successful strategy and vision, but the great strength of the concept lies in the very process of building the scorecard, a process which is an effective way to express the company's strategy and vision in tangible terms and to gather support for it throughout the organisation. Viewing the company from different perspectives and in different time dimensions provides a unique understanding of the business as a whole. A common language and basis for discussion are established throughout the organisation. In this way the employees can see their part in the total picture, as they must if the company is to achieve its overall goals and comprehensive vision.

One effect of implementing a system of performance management may be a change in the culture of the college. Peters and Waterman (1982) and Goldsmith and Clutterbuck (1984) suggest that culture is a key component in the performance of successful companies. This view is questioned by other writers for whom very little evidence exists, of a strong association between culture and organisational performance (Akin and Hopelain 1986). The work of Kilmann et al (1985) indicated that there are three factors which would be important: cultural direction, cultural strength and cultural pervasiveness. Cultural direction is the extent to which a culture actually helps an organisation achieve its goals. Kilmann et al (1985) suggest that cultures can be positive and facilitate goal achievement, or negative and inhibit it. Pervasiveness is the extent to which an organisational culture is homogeneous (Rollinson et al 1996). Teams within the college will inevitably have their own sub-cultures. There is a danger that, if there are many sub-cultures which are very different, this could lead to inter-group conflict.

The strength of a culture expresses the influence it has on the behaviour of people. Rollinson et al (1996) suggest that a culture that is positive and strong will have a beneficial impact whilst one which is strong and negative is likely to have adverse consequences.

During the course of this study one of the teams was transferred to another college as part of a collaborative development. There was a concern that this would have a detrimental effect on the other teams of the college. After a period of time there was no evidence that the transfer had affected the other teams.

CHAPTER THREE

Research aim and questions

This research study evolved through the recognition that, if a college was to be successful, it had to have an operational planning process which encouraged accountability; was measurable in terms of its achievement; and involved staff in being responsible for achieving the college objectives. Performance management was a concept which had the potential of developing in a further education college a means of building accountability into the operational planning process. It provides managers and staff with a shared responsibility for achieving the strategic aims of the college.

A review of the literature found that performance management was well documented for industrial organisations. Evidence was also obtained from two colleges during the preliminary research part of the study. In one college the performance management system was only being developed and had not gone through a complete cycle. In the other it was found that the performance management system was not concurrent with an up-to-date concept of performance management. An analysis of both colleges is reported in chapter five.

Preliminary research revealed no literature on the balanced scorecard being applied to a further education college. Given these early findings, it became clear that, if a system of performance management using the balanced scorecard as an approach, could be implemented in a college, this would provide new knowledge of this area. It would also be relevant to the researcher who had a responsibility for operational planning. It would also be relevant to the further education sector and would extend the forefront of knowledge in operational planning. Given the advantages of both a system of performance management and the balance scorecard approach, and the fact that no evidence of a previous study of this nature could be found, it was concluded that this was a study worthy of being carried out.

While College appraisal systems were also being criticised (Walker, 1997), problems and symptoms associated with a poor appraisal system were recognised in my own college. To be able to review the appraisal system and refocus appraisal through a performance and development review would also extend the knowledge of this area for the further education sector. The direct interest of the researcher in whether the concepts of performance management and the balanced scorecard could be applied to a further education college led to the research aims of this study.

Brown and McIntyre (1981) suggest that research questions arise from an analysis of the problems of the practitioners in the situation and the immediate aim then becomes that of understanding those problems. The researcher, at an early stage, formulates speculative, general principles in relation to the problems that have been identified.

Robson (1993) identifies three main purposes for undertaking research: exploratory, descriptive and explanatory.

- Exploratory studies are usually but not always quantitative.

- Descriptive studies require extensive previous knowledge of the situation to be recorded or described and aim to portray an accurate profile of persons, events or situations. Descriptive studies may be qualitative or quantitative.

- Explanatory studies are designed to find out what is happening to seek new insights, to ask questions and assess phenomena in a new light. Explanatory studies can be qualitative or quantitative and seek an explanation of situations or problems usually in the form of a causal relationship.

This study involved a large and complex group of staff in the college. The range of staff varied from the Senior Management Team to individual teams of lecturers and support staff. The number of staff involved in the research exceeded two hundred and could therefore be described as a large group process (Martin, 2001). Martin

describes large group interventions or processes as events designed to engage representatives of an entire system, whether it be an organisation or a community, in thinking through and planning change. A full explanation of the work of Martin is described in the chapter four.

The first and main aim of this research study was to investigate, implement and evaluate a system of performance management using the balanced scorecard as an approach. My hypothesis was that using a balanced scorecard approach would develop effective operational planning. Team Leaders would set a balance of objectives with their teams which would reflect the focus areas of the scorecard. The performance measures of the operational plan would be linked to the strategic plan of the college. The effectiveness of this aim would be the establishment of outcome measures where teams and individuals can determine how they contribute to achieving the college aims and objectives. Objectives would become more measurable and as a result achievable and therefore drive an improvement in the performance of the college. Staff would be able to demonstrate a link between their own performance and the college as a whole

The second aim was to determine how effective the balance scorecard was in producing an operational plan with a balanced set of objectives. My hypothesis to support this aim was that Team Leaders and line managers would agree measurable objectives with their teams which would reflect the cause and effect relationship of the operational planning process. Achievement of the operational objectives should lead to predictable improvements in the focus areas of the scorecard. The reason for using the balanced scorecard was that performance management required a vehicle of implementation and this would be the balanced scorecard approach. Without a method of implementation there would only be a stand alone theory which lacked focus for achievement and change.

An extensive analysis of the objectives which were defined during operational planning for the year 2001-2002 was compared with the previous year. The information in both plans was largely qualitative, the performance measures,

however, were quantitative. Creswell (1998) defines qualitative research as an inquiry process of understanding based on distinct methodological traditions of enquiry that explore a social or human problem. The researcher builds a complex, holistic picture, analysis, words, reports, detailed views of informants, and conducts the study in a rural setting. The information which was available from the operational plans was identifiable with the strategic aims of the college. The performance measures for each aim were also intended to meet objectives which were specific, measurable, achievable, related to the objective and time measurable. This information provided the opportunity of not only using qualitative analysis but to also use quantitative analysis for the interpretation of the information provided on the operational plan throughout the current year and the previous year. A critical analysis of the operational plans for the periods 2000-2001 and 2001-2002 enabled a comparative analysis to be carried out to establish if there was evidence of change occurring. Robson (1997) suggests that theories and concepts tend to arise from the enquiry. They come after data collection rather than before it. Bryman (1988) also indicates that many of the differences between the two traditions are in the minds of philosophers and theorists, rather than in the practices of researchers. He concludes with the suggestion that quantitative research is associated with the testing of theories, whilst qualitative research is associated with the generation of theories.

In order to achieve the first aim of the study, which was to implement a system of performance management, a programme of development had to be devised. The concept of performance management was introduced to the Principal and Senior Management Team. They were advised of the principles of performance management, the advantages and what would be involved in its introduction. At the same meeting the group were also advised of the various methods of introducing a system of performance management. These methods have been explained in chapter 2 sections 2.3.1 to 2.3.4. The advantages of using the balanced scorecard convinced the group that this would be the preferred option. The second aim of the study, which was to determine if the college's operational plan could be based on a balanced scorecard, required a development team to be set up. The membership of

the group, and a timetable of development and implementation was agreed by the senior management team.

Changing the system of operational planning also involved the Personnel Committee of the Board of Management. Both the senior management and the Board members were enthusiastic and supported the proposals.

The detail covered during the implementation of the system of performance management was significant. To include it in the text of this study would be excessive. In order that the magnitude of the work can be assessed there are, in Appendix 1, sample copies of meetings, information briefings and action plan dates.

The third aim of this study was to revise the system of appraisal in the college and to produce a new system based on a performance and development review for each member of staff. This revised system would have a direct link to the performance management system.

My hypothesis for this was that staff would see a direct link between their own personal objectives and the achievement of the college operational plan. Without this direct link staff would not be fully committed to the vision and aims of the college and specifically to the aims of their own individual team. An important outcome of the performance and development review was the identification of CPD. Staff could identify how their own CPD contributed to the achievement of their team objectives and therefore the overall college objectives. The fact that the college objectives, team aims and individual members of staff CPD were inextricably linked, meant that there was a closed loop system.

The implementation of the third aim also involved a team approach. A development team was set up specifically to review and implement the change from appraisal to a Performance and Development Review System. Staff received training in the new system as all of the forms used to drive the process were changed. The detail of the

change is not included in the text of this study; a copy of the procedure and each revised form is included in Appendix 2.

The fourth aim of this study was to evaluate the findings of this study and to make recommendations which would assist other Further Education Colleges to consider adopting a system of performance management. The model which was devised had five perspectives which were considered essential for the success of the college. This model was different in many ways from the models developed in other fields. As a consequence the knowledge of the Balanced Scorecard has been taken forward and developed for the field of Education.

CHAPTER FOUR

Methodology

The methodology of this study was essentially qualitative, although quantitative techniques were used in analysing some of the data obtained from the research. Birley and Moreland (1999) identified five common methods of research as:

- Experimental.
- Survey.
- Developmental.
- Action Research.
- Qualitative Research.

Experimental research attempts to control a situation so that only one item of interest is studied. This method was not appropriate to the study.

Survey methods are used to acquire an overview of a particular situation where information is required to inform policy decisions. Cohen, Manion and Morrison (2000) suggest that surveys gather data at a particular point in time with the intention of describing the nature of existing conditions, or identifying standards against which existing conditions can be compared, or determining the relationships that exist between specific events. This study used a number of small scale surveys which included a semi structured interview, questionnaires issued to lecturing and support staff and a focus group interview with senior managers.

These small scale surveys were used to gather data in support of the implementation of performance management in the college. When the system had been operational for some time statistical data was obtained from staff questionnaires to determine if change was occurring as a result of the introduction of performance management. The information gathered from the surveys was instrumental in changing some of the procedures of the performance management system. Attitudes were measured and these informed the study to develop an improvement in communications in teams.

Developmental methods are usually used to study a particular cohort over a specified period of time. This time span may be over a significant period and was therefore excluded as a method on that basis.

The methodology which was most appropriate to this study was action research using qualitative methodology. Action research owes much to the work of Kurt Lewin who stated that action research involves a spiral of cycles of planning, acting, observing and reflecting (Lewin 1948). Planning is the general idea or starting point of the research. Robson (1997) states that if planning is successful two items emerge; an overall plan of how to reach the objective and a decision about the first step of action. The next step is to take action to carry out the first step of the plan. The process of observation and reflecting forms a circle of planning, executing and fact finding to evaluate each step which can lead to modifying the overall plan.

The focus of this research project involved thirteen academic teams. Team Leaders worked with their teams in the application of the development of the theory of performance management. Team Leaders themselves were participants in action research as the knowledge they gained was fed back to modify and develop the original theory. Team Leaders were involved in a process of observation, reflection, planning and action as described in Kolb's (1984) theory of learning. They were not directly carrying out research but were involved in applying the theory to practice with their teams. Kolb (1984) described learning as a cyclical process involving four developmental phases;

- Concrete experimentation - which refers to personal involvement, dealing with people by being sensitive to their values and feelings.

- Reflective observation - which implies that information is gathered and analysed.

- Abstract conceptualisation - which is the "comprehension" process through which order is introduced and models and schematics are built.

- Active experimentation - which is the stage when finally the abilities are associated with acting and doing in the external world.

Birley and Moreland (1999) stated that action research is research conducted by a professional into their own activity with a view to bringing about an improvement in practice. The action which was carried out enabled data to be evaluated to determine the effectiveness of implementing the system of performance management. This outcome of action research is reinforced by earlier researchers, Carr and Kemmis (1986), who indicated that action research leads to, firstly, the improvement of practice of some kind; secondly, the improvement of understanding of a practice by its practitioners, and; thirdly, the improvement of the situation in which practice takes place. Those involved in the practice being considered are to be involved in the action research process in all its aspects of planning, acting, observing and reflecting.

Action research is not without its critics. Cohen and Mannion (1991) stated that their evaluation of the last fifty studies which have been undertaken which compare the outcomes of one teaching methodology with another is that they have contributed almost nothing to our knowledge of the factors that influence the learning process in the classroom.

This criticism is supported by other writers, Atkinson and Delamont (1985) and Adelman (1989) who consider action research to be 'inward looking and ahistorical' and a denial of the need for systematic methods.

The literature identifies action research as being linked to the case study approach (Robson 1997). Lincoln and Guba (1985) use the term 'naturalistic enquiry' which shares many characteristics with the case study approach. It says that the researcher must work in a natural setting possibly without any formal theory or hypothesis. The

focus cannot be specified except in very broad terms and it is difficult to put boundaries on the study. It is the human being that is the instrument in gathering primary data. Qualitative rather than quantitative methods tend to be used, although this is not exclusively the case. The research design emerges from the interaction with the study.

This study used action research to evaluate a specific approach to performance management in order to develop the theory of performance management. Teams in the college worked together as participants in the overall research theme.

Robertson (2000) stated that action researchers often experience a complicated research process, not only when conducting their research, but also when trying to report their processes and findings. The work of Robertson was closely related to the research undertaken in this study, and involved research of a model of professional development in a school situation.

Three strands of action research were identified by Robertson. The first strand of action research identified was the development of knowledge. This was identified as 'reciprocity' where researchers are not only interested in research findings but want to incorporate these findings as they are constructed into developments and innovations at the school and classroom level. This is theory developing practice and practice developing theory and the basis for reciprocity to be achieved within research (Robertson 2000).

The second strand identified by Robertson was 'reflection on reality'. Team leaders worked together and came together as a forum on a regular basis. Each Team leader was given training in the theory of performance management and the practical methods of implementation with their teams. The Balanced Scorecard was used as a method of ensuring that operational planning and objective setting had a balanced approach to it. Lewin (1948) described reflection as gathering new insights, planning the next step and modifying the overall plan.

Robertson's third strand of action research was exploring reflexivity. Giddens (1976) described reflexivity as self-awareness. Critical enquiry which achieves reflexivity is a mutually beneficial process for the development and self-awareness of both researcher and researched (Berger and Luckmann 1967). Team Leaders were, through regular meetings with their teams, able to gain feedback. This in turn was discussed with other Team Leaders to share knowledge and progress. Carr and Kemmis (1986) argued that collaborative action research requires that practitioners meet together to be involved in the discourse and critique necessary to systematically develop the educational knowledge which justifies their educational practices and the educational situations constituted by these actions.

An important feature of action research is that it is not finished when the project ends but the review and evaluation process continues in order that practice is improved (Cohen and Manion 1991). The principal justification for using action research is to improve practice. An empirical feature of this research method is that it relies on observation and behavioural data. The information obtained from college sources informed the development of performance management.

Greenwood and Levin (1998) also refer to organisations and communities and describe action research as a complex, dynamic activity involving the best efforts of organisations and professional researchers. It simultaneously involves the cogeneration of new information and analysis together with actions aimed at transforming the situation in democratic directions. One important point which is also made by Greenwood and Levin is that action research is a way of producing tangible and desired results for the people involved, and it is a knowledge-generation process that produces insights both for researchers and the participants. The design of the study followed the conditions identified by Martin for action research in large group design (Martin, 2001). Although the time span will be over a much longer period of time, the concept established by Martin is explicitly clear and has been used as a framework for this action research study. These large group processes structured for action research are aimed at 'a better, freer society' (Greenwood and Levin, 1998) that will generate learning and social change. The advantage of large

group intervention in the organisational context is that they provide the opportunity for a large number of organisational members to understand the need for change as well as to support and take part in the implementation of change. It was important that staff involved in performance management understood the reason for the change from traditional methods. Senior managers in the college had been working for a number of years on the introduction of a policy encouraging a more open style of management and a cultural change towards involving teams in the operational and decision making process. Bunker and Alban (1997) stated that if an organisation values ownership, commitment, alignment and speed it might consider using one of these large scale participative approaches. This view was reinforced by Jacobs (1994) who reinforced the advantages of this approach; it is consistent with the shift in business thinking to 'multi-minded' getting a lot of points of view on the table and coalesced. Just issuing a corporate directive is not enough anymore.

Martin (2001) identified four general areas of design under which a large group process can evolve as action research. Conceptualisation of the task; the framing of the event; the design of the event itself, and; finally, the plans for the follow up. Conceptualisation deals with the initial decisions about the goals and the desired outcomes. It seeks to ensure that there is clarity in the purpose of the research being undertaken; that the problem or question has been defined, and; that participants have been engaged in discussion of the purpose and desired outcomes. This is important to ensure that the facilitation does not make false assumptions and that the participants are not entering into a process without an understanding of where it might lead. Martin identifies the problem that participants may have a cynical 'flavour of the month' attitude towards their involvement if they have not been involved to some extent in the planning process. Greenwood and Levin (1998) advised that action research rests on the belief and experience that all people – professional action researchers included – accumulate, organise and use complex knowledge constantly in everyday life. The feedback which was sought from teams in the college as they participated in the development of performance management gave a democratic dimension to large scale research. The intention was that participants should have been able to control their own direction and therefore be able to participate in democratic discussion.

Framing the event identifies who should be included, what ground rules should be followed and what role should facilitators take. The process itself should be framed to support both the action and research goals. Martin emphasised that there were three key elements that had to be met in a large group process. The first is that action research should have learning as a goal and that reflection is an explicit component of the process. The second is to ensure that responsibility for action is clarified. While participants will be undertaking action themselves, the outcomes of the research will inform a specific management team and a much more general further education academia; in which case the ultimate responsibility will be that of the researcher. The third element is deciding who will be participants in the research. An expressed rationale for large group processes is that contemporary organisations are too complex and environments too uncertain for one person or group to have all the answers (Bunker and Alban, 1997). The participants are those who will engage in the system change and who will be involved in the learning and planning process. The literature emphasises the importance of the researcher not going it alone but involving a planning group. Both planning group and researcher then engage in a series of questions about the system and determine and who is to be involved. The planning group established to develop the performance management system had representatives from the academic and support staff and ranged from Heads of School, Line Managers and Team Leaders. The operational planning element involved Team Leaders and Line Managers and their staff.

The design of the event itself focuses on how the large group will be engaged and in what specific tasks. The structure of group activities involved three distinct groups. The senior management group had overall responsibility for all of the college teams. The performance management development group dealt specifically with design and development issues of performance management and the balanced scorecard. Team Leaders met as a group to share issues arising from the implementation of performance management. Team Leaders required a significant amount of support to ensure that implementation timescales were met.

Three non structural components were identified by Martin (2001) as being essential when designing an event. These were to establish ground rules for dialogue, to design for multiple perspectives and to prepare for power imbalance. When establishing the ground rules for dialogue Emery and Purser (1996) indicate that an assumption should be made that all perceptions are valid. Martin further indicates that questions should be asked in order to clarify points and not to challenge them. Difference should be treated as an opportunity to learn and when speaking, speak to be understood not to score points; listen to understand; and allow everyone the opportunity to speak. These are important guidelines which brought meaning to the discussions which were be held by teams as the performance management system evolved. The fact that teams were empowered to manage themselves meant that all members of the team had to have their views considered.

In preparing for multiple perspectives, groups had to report their differences as well as what has been agreed. This may be difficult for some team leaders who may view differences in their teams as failure on their part. This was a difficult area to address as there would always be a power imbalance in any group situation. If all perceptions are valid, participants have to have the understanding that their knowledge is valuable. In concluding her work on large group action research, Martin indicates that the spiral of action and reflection continues as participants take responsibility for their own actions and learning. The performance management system was in continuous change as the culture of the college learnt to adapt to it.

The practical advantages of using action research as the method of enquiry provided a rigour to the research. Hopkins (1985) wishes to see high quality action research and proposes a simplified action research model as follows:

1. Data collection and the generation of hypothesis.
2. Validation of hypothesis through the use of analytic technique.
3. Interpretation by reference to theory, established practice and practitioner judgement.
4. Action for improvement that is also monitored by the same research techniques.

Hopkins' model gave a simple but relevant model of action research which was used for this study. A period of time was spent at the beginning of the study collecting data from many sources, prior to the aims of the study being fully developed. The hypothesis developed from the aims of the study was partly validated using analytical techniques. Qualitative data was converted to quantitative data and analysed using statistical techniques. The introduction of performance management was based on research of the literature; established practice in organisations where the theory had been applied and information gained from practitioners in the field. The process of performance management was implemented in the college through action plans, teamwork and a consistent review of progress. Changes were made and the system modified as feedback on how the system was progressing was received. This was an on-going part of the study.

Murray and Lawrence (2000) suggest that data analysis is, along with the formulation of conclusions, the culminating feature of the research process. This action research study had a significant effect on the organisation and operation of a college. Staff were involved from the conception of the study aims and the major hypothesis was that change would occur as a result of the actions of staff.

It was therefore important to obtain the opinions of staff and others who had been involved in the implementation of performance management. There are two forms of data available which would provide data for analysis. Data was obtained from a range of sources during the period of the study. Figure 4.1 describes the source of the data and identifies them as quantitative or qualitative.

Figure 4.1

Source of Data	Type of Data
The literature review	Qualitative
Information gathered from one industrial source and two further education colleges	Qualitative
The analysis of the College Development Plan for the period academic year 2000-2001 and the College Operational Plan for the academic year 2001-2002	Quantitative
Interview with Her Majesty's Inspector HMI	Qualitative
Questionnaire issued to college Team Leaders, line managers, lecturing and support staff	Quantitative
Conference on Performance Management in Higher Education	Qualitative
Focus group interview with academic Heads of School, Director of Marketing and Student Services and Support Staff Senior Managers	Qualitative
Reflective diary	Qualitative

4.1 Literature Review

The purpose of carrying out the literature review was to ensure that the research was based on the current state of knowledge and theoretical understanding of the study enquiry. Glaser and Strauss (1967), the proponents of grounded theory, originally argued for complete detachment from any reading of supposedly relevant literature. The reason for this is that a closed conceptual framework can block creativity. As this study is not based on grounded theory, a thorough review of the literature was carried out which informed the development of the research and implementation of performance management.

A good literature review has many virtues. It enables the investigator to define problems and assess data. It provides analytical concepts on which data can be analysed.

Birley and Moreland (1999) propose that a literature review has three aspects to it:

- First, it should be comprehensive and relevant, the review should cover as much of the literature as possible.
- Second, a literature review should involve critical study and investigation, it should be an accurate account of each piece of literature and its particular relevance to the research concerns that have been identified.
- Third, it has to be a comprehensive summary of the relevant literature which has to be focussed whilst being brief in drawing out the main themes.

A thorough review of the literature enables the data of one's research project take issue with the theory of one's field (McCracken 1988).

Murray and Lawrence (2000) also indicated that this is the most important part of any research enquiry, through which intellectual control over methodology is usually attained and maintained.

A significant amount of the research for this study involved an analysis of the literature and documentation produced as a result of the introduction of performance management. Documentary analysis is referred to as content analysis; it is an indirect rather than a direct method of data collection. Krippendorff (1980) defines content analysis as a research technique for making replicable and valid inferences from data to their context. The context includes the purpose of the document as well as institutional, social and cultural aspects. Robson (1997) suggests that content analysis is, in several senses, akin to structured observation. Robson also emphasises that reliability and validity are central concerns of content analysis which is a general problem. Material to be analysed is not only unstructured but, as he points out, it is not structured with the needs of the observer in mind.

Documents have a purpose and it is that purpose which is important in understanding and interpreting the results of the analysis.

The advantages of using content analysis have been described by Webb et al (1966) as:

- It is an "unobtrusive" measure, you can observe without being observed.
- The data are in permanent form and hence can be subject to re-analysis, allowing reliability checks and replication studies.
- It may provide a low cost form of longitudinal analysis when a run or series of documents of a particular type is available.

The disadvantages have also to be taken into consideration:

- The documents available may be limited or partial.
- The documents have been written for some purpose other than for the research.
- As with other non experimental approaches, it is very difficult to assess casual relationships.

Robson puts content analysis into context when he says " content analysis is codified common sense" a refinement of ways that might be used by lay persons to describe and explain aspects of the world about them.

The information obtained from the literature review directly assisted in planning the introduction of performance management. Sources of literature on performance management in education were difficult to source and, as a result, the application to industrial settings had to be used as a model.

Information from one industrial source and two further education colleges

Information gathered from industrial and educational sources provided additional evidence to support the findings of the literature review. These sources were two further education colleges which operated performance review schemes for their staff and a major industrial organisation which operated a performance management system.

The information obtained from these sources was documentary evidence. This evidence was analysed against the findings of the literature review using the case study approach suggested by Creswell (1998).

A detailed description of the systems used was produced. The information provided by the sources was analysed using categorical aggregation. This enabled a comparison to be made against the requirements of a performance management system as defined by the literature review.

4.2 Analysis of College Development Plan 2000-2001 and College Operational Plan 2001-2002

The Development Plan for the period 2000-2001 and the Operational Plan for the period 2001-2002 were analysed using the documentary analysis technique known as content analysis.

In comparing two operational plans I expected to find differences between the two which could be attributed to the implementation of performance management, but more directly related to the development of the balanced scorecard which was used as the basis of producing the 2001-2002 operational plan. It had been my intention to analyse a range of plans from previous years but I found that there were problems in doing so. The plans for the period 2000-2001 and 2001-2002 were broadly comparable. The structure of teams was generally similar and the team structure had a certain stability. Prior to 2000-2001 it was not possible to make the same comparisons in a reliable manner. Some teams did not exist and other teams did not consist of the same staff. There were also differences in the structure of the college overall.

Edwards and Talbot (1994) suggest that the result of content analysis can proceed to quantitative analysis and therefore the application of statistical description and testimony.

Both the College Development Plan for the period 2000-2001 and the Operational Plan for the period 2001-2002 were analysed using the content analysis technique. There was not an exact match of criteria to be analysed. The Development Plan 2000-2001 had eight strategic aims whereas the Operational Plan 2001-2002 had nine strategic aims.

The reason for this was that when the balanced scorecard was developed it was found that there was no strategic aim in the Development Plan 2000-2001 which referred to staffing and CPD. This was a serious omission which was corrected in the strategic aims of the Operational Plan 2001-2002 by adding a ninth aim. This was one of the first results of using the balanced scorecard in producing the Operational Plan 2001-2002.

To ensure that the results were quantifiable and valid both plans were analysed using the same content analysis criteria. We will now examine these criteria.

Each plan was assessed to determine the number of operational objectives which related to the following categories.

- Customers }
- Finance }
- Staff } These were the focus areas of the college
- Systems } balanced scorecard
- Developments }

Strategic Reference: This was the reference which each operational objective was cross-referenced to. There were eight strategic references in the 2000-2001 Development Plan and nine strategic references in the 2001-2002 Operational Plan.

Resource: This was the specific resource each operational objective required if it was to be achieved.

Target Date: This was the timescale in months that it would take to achieve each operational objective.

Responsibility: This identified who was responsible for achieving the operational objective.

Development: Did the objective meet the criteria which would enable it to be classified as a performance objective (i.e. was it specific, measurable, achievable, related to the team and time bound)?

The results were analysed to determine the total responses for each team and the overall total for each of the operational plans. The average response for each

category was also calculated which enabled each team to be compared to the average response.

My hypothesis for the first aim, which was to investigate, implement and evaluate a system of performance management using the balanced scorecard as an approach, was that when comparing the operational plan for each year, evidence of change should be apparent if the balance scorecard approach was having an effect.

As this was difficult to determine from the data itself, the data from each section of the analysis of each plan was converted into pie charts. The information provided by the pie charts in graphical format allowed immediate comparisons to be made between each section of the plan, for each of the years and the differences between the years to be considered.

Individual team responses were interpreted using bar charts as this allowed a comparison to be made in relation to other teams and also the average for each section of each plan.

In order to analyse if the changes which occurred between the two plans were statistically significant and not simply caused by chance, a chi-squared test was carried out on each section of both sets of data from the operational plans.

4.3 Interview with Her Majesty's Inspector HMI

One specific interview, with one of Her Majesty's Inspectors was carried out during the research period. The purpose of this interview was to determine the current view of Her Majesty's Inspectorate in respect of appraisal and performance review in colleges of further education. The format of the interview was based on the semi-structured interview technique. Robson (1997) describes the semi-structured interview as a process where the interviewer has worked out a set of questions in advance, but is free to modify their order based upon the perception of what seems most appropriate in the context of the conversation. Questions can be reworded or

left out if they seem inappropriate. Questions can also be included if they are related to the general area of interest.

The advantages of using the interview is that it is a flexible method of obtaining information. The fact that it is live and interactive offers the researcher the possibility of changing directions in relation to the responses obtained. This allows underlying motives to be followed up. The interview also allows non-verbal cues to give assistance in understanding the verbal response.

It was recognised that the interview with the HMI would be important in that the information provided would be confirmation of the official position in response to the questions. Questionnaires used in research are normally pilot tested. On this occasion, due to the fact that this was a single interview with one HMI, it was not possible to do this. In order to confirm that the questions were appropriate the questionnaire was reviewed by the researcher's supervisor. There were no changes made as a result of this review other than the caution that the HMI may refuse to answer certain questions if the answer was likely to be prejudicial to official HMI policy.

The questions used for the interview were open-ended. (HMI Interview Schedule – Appendix 3.) The advantage of using open-ended questions was flexibility; they allowed areas to be probed for more depth, they help to establish co-operation and rapport and allow the interviewer to test the limits of the respondent's knowledge. (Cohen, Mannion and Morrison 2000).

4.4 Staff survey questionnaire

During a conversation with Michael Armstrong, where the subject of this enquiry was being discussed, he indicated that implementing a system of performance management in a college and at the same time analysing the result was, to quote, "a perfect example of having a living laboratory from which change could be observed and data gathered".

Staff in the college were involved in the process of the implementation of performance management and changes to the appraisal system and it was important that their opinion on this process was gathered.

Due to time limitations between the completion of the performance and development review for each member of staff and the start of the next cycle of operational planning, it was decided that a questionnaire administered to each member of staff would be the best method of gathering this information.

Wilson and McLean (1994) indicated that a questionnaire is a widely used and useful instrument for collecting survey information, providing structured, often numerical data, capable of being administered without the presence of the researcher, and often being comparatively straightforward to analyse.

The disadvantage of the method is that it takes time to develop and pilot a questionnaire. In this case the advantages of obtaining a large potential source of information outweighed the disadvantages. Other methods were considered such as focus groups and interviewing but these were rejected due to the time constraint.

To put the time constraint into context, there was a ten week gap between the completion of the staff performance and development reviews and the commencement of the next cycle of operational planning. It was important to obtain the views of staff on the changes that they were being subjected to. The information obtained from the questionnaire was used to inform where changes were required.

Edwards and Talbot (1996) suggest that questionnaires are disliked by recipients, they give only superficial information and non-returns need to be chased up to ensure that an appropriate sample is achieved. Their advice on questionnaires is that they should be focussed, short and easy to analyse.

Oppenheim (1992; p1) wrote that "the world is full of well meaning people who believe that anyone who can write plain English and has a modicum of common sense can produce a good questionnaire". Edwards and Talbot (1996) advise that care has to be taken in selecting question type, in question writing, in the design, piloting, distribution and return of questionnaires. Consideration has to be given on how the questionnaires will be analysed.

Questionnaires can have several kinds of question and response modes. Closed questions prescribe the range of responses from which a respondent can choose. Open questions enable respondents to write a free response in their own terms, to explain and qualify their responses and avoid the limitations of pre-set categories of response (Cohen, Mannion and Morrison 2000).

Open questions take a great deal of analysis, they are difficult to code and can take a considerable amount of time to complete the analysis. Closed questions have the advantage that they are quick to complete and straightforward to code. They do not discriminate unduly on the basis of how articulate the respondents are (Wilson and McLean 1994).

Due to time constraints it was decided to use a questionnaire with closed questions. There was a reasonably large number of respondents which offered the potential of achieving a high response rate.

Closed questionnaires can have a variety of different types of questions. Dichotomous questions require a yes / no response. Multiple choice questions are more complex and are designed to capture the likely range of responses to given statements. Rank ordering is similar to multiple choice in that it asks respondents to identify priorities. Rating scales or attitude scales involve a list of statements where respondents are asked to indicate the extent to which they agree or disagree.

Rating scales combine the opportunity for a flexible response with the ability to determine frequencies, correlations and other forms of quantitative analysis. They

afford the researcher the freedom to fuse measurement with opinion, quantity and quality (Cohen, Mannion and Morrison 2000).

The questionnaire was designed on the basis of closed questionnaires with a Likert Scale response. This would have the advantage over a dichotomous scale of being able to obtain a more sensitive analysis of staff attitudes, perceptions and opinions.

Edwards and Talbot (1996) confirm the advantages of using attitude scales. They indicate how people will behave, they allow you to go below the surface of issues and yet keep the data numerical. They can be administered to a lot of people at one time in the same setting, are reliable, and can be administered before or after an intervention. The disadvantages, however, are that attitudes are influenced by context and therefore don't always remain constant indicators of behaviour.

The questionnaire was designed with four sections. The first section asked the respondent to identify their position in the college. The questionnaire was only distributed to staff who had been involved in producing operational plans and were part of a team in the college. The second, third and fourth sections consisted of statements relating to specific areas of the Elmwood Team Management System (ETMS). During the development of the performance management system it was decided that a clearly identifiable name for the process was required. The term ETMS being short for Elmwood Team Management System was chosen as it had a strong team focus. This was then applied to all documentation relating to the performance management system. The second section was specifically related to the ETMS operational planning and teamwork and consisted of ten statements. The third section consisted of five statements relating to the performance and development review and the fourth section also had five statements relating to CPD. (See ETMS Evaluation Questionnaire – Appendix 4.

The appearance of the questionnaire is vitally important. It must look easy, attractive and interesting rather than complicated, unclear, forbidding and boring; a larger

questionnaire with plenty of space is more encouraging to respondents (Verma and Mallick 1999).

The front sheet identified the purpose of the questionnaire and the statements and the Lickert Scale boxes were well spaced out. The questionnaire was printed on bright yellow paper in order to ensure that it was clearly identifiable amongst the usual white paper that pervades the desks of most staff. The document assured staff that it was confidential and anonymity was assured. The latest date of return was clearly evident on the front sheet.

The literature is universal in its recommendation that all questionnaires should be piloted. Oppenheim (1996) remarks that everything about the questionnaire should be piloted; nothing should be excluded, not even the type face or the quality of paper.

A pilot has several functions, primarily to increase the reliability, validity and practicability of the questionnaire (Oppenheim 1992; Morrison 1993; Wilson and McLean 1994).

The questionnaire was piloted with ten members of staff chosen as representative of the population that the questionnaire would be issued to. It was important to have a representative population to ensure that the questions would be easily understood by all participants. The participants in the pilot were chosen at random from four areas of the college. These areas were involved in operational planning and had staff available on the day of the pilot. The following shows the distribution of the pilot questionnaire:

- Support Staff x 3.
- Teaching Staff x 4.
- College Managers x 2.
- Staff Development Co-ordinator x 1.

The support staff, teaching staff and college managers were chosen due to their teams' involvement in the operational planning process. The staff development co-ordinator was chosen to act as an independent judge on the validity of the questions in respect of each section of the questionnaire. Each member of staff was asked to read the instructions, complete the questionnaire and record the time that it had taken to do this.

Following completion of the questionnaire each member of the pilot was asked to complete an evaluation form which asked them to consider each statement and to indicate their understanding of it against the following criteria.

- Cannot understand question.
- Vague question.
- Not relevant question.
- Question ok.

From the results of the evaluation four statements were found to be badly worded. These were changed and tested with two members of staff who were able to compare them with the poorly worded statements. They were able to confirm that the statements were now more clearly written. The questionnaire was then re-drafted prior to being issued.

The questionnaire was not delivered directly to respondents but was distributed to staff by the administrative assistant responsible for a particular number of teams. The purpose of the questionnaire was explained and the maximum time that it would take to complete reinforced. It was considered that this approach where a member of staff was encouraged by the administrative assistant to complete and return the questionnaire would solicit a higher rate of return than if the questionnaire had been submitted in an envelope. Regular reminders were issued to complete and return the questionnaire, once more to achieve as high a rate of return as possible.

Following the return of the questionnaires the responses were collated and the data entered onto an Excel spreadsheet.

Cohen, Mannion and Morrison (2000) suggest that prior to evaluating the data the questionnaires have to be edited. Editing questionnaires is intended to identify and eliminate errors made by respondents.

When the questionnaires were analysed it was found that one respondent had not indicated a response to some of the statements but had written on the questionnaire their own comments. As the questionnaire was not designed to be open-ended it was decided that the response would be counted as not answered.

Hoinville and Jowel (1978) and Moser and Kalton (1977) suggest that there are three tasks in editing:

- Completeness, a check is made that there is an answer to every question.
- Accuracy, a check is made to ensure that all questions are answered accurately.
- Uniformity, a check is made on the uniformity of the instruction and that all respondents have responded in the same manner.

The use of the Excel spreadsheet allowed statistical testing of the data to be carried out.

4.5 Conference on performance management in higher education

The source of much of the current literature available on the subject of performance management is provided by Michael Armstrong. During research for this study the researcher attended a lecture given by Michael Armstrong "Improving Performance Management in Higher Education" 22 October 2001 in central London.

The keynote address provided by Armstrong provided valuable information which added a richness to the information available for analysis. The debate following his presentation confirmed that the approach which had been taken during the action research part of the study was the correct one.

4.6 Focus group interview with Academic Heads of School, Director of Marketing and Student Services and Support Staff Senior Managers

Senior Managers had been involved in the development of the performance management system in the college and were therefore an important source of information. The group of managers was relatively small with a total of six; this was considered to be a representative amount for both a group interview and also a focus group. Lewis (1992) indicates that a group size of around six or seven is an optimum size for a group interview. Morgan (1988) suggests that if a group is too small intra-group dynamics exert a disproportionate effect. If group is too large the group becomes unwieldy and hard to manage; it fragments. The ideal number for a focus group suggested by Morgan is between four and twelve people.

The meeting held with the senior managers was to be based on the principles of a focus group interview and, although it commenced with this intention ,it became apparent that the group required some control to ensure that it remained focussed.

What emerged as a structure of the interview was a situation based on the dynamics of the focus group but also the researcher having some control of the group interview.

Armstrong (2000) also found this phenomena when he was carrying out focus group interviews. It was not possible to prevent the facilitator from becoming involved and sometimes setting the tone of the meeting. Focus groups can also be dominated by forceful or articulate members, so there is always a possibility that other members simply follow the leader in response to the dynamics of the group situation.

Focus groups are a form of group interviewing which involves interviewing a number of people at the same time. This relies on a series of structured questions and responses between the researcher and the respondents. Focus groups rely on interaction within the group based on topics that are supplied by the researcher (Morgan 1988).

The advantages of using focus groups are that they provide data more quickly and at lower cost than if individuals were interviewed separately. Groups can be assembled at relatively short notice than for a more systematic survey. They also take advantage of the fact that people naturally interact and are influenced by others. Focus groups can be very flexible, generally require less preparation and are comparatively easy to conduct. Results are easy to understand and the researcher can interact directly with respondents. Disadvantages of focus groups are that there is less control over the group and what information will be produced. Data can be chaotic, making it difficult to analyse.

Kreuger (1988) identifies three phases in conducting a focus group as:

- Conceptualisation.
- Interview.
- Analysis and reporting.

The conceptualisation phase considers why the focus group should be conducted, what information is required, how will it be used and who requires it. The area of study has to be defined and a plan developed which specifies the procedure, the time which will be taken and, if necessary, the cost of carrying out the actual interviews.

In this research there was only scope for holding one focus group consisting of senior managers. The information required was related to the college performance management system and it was important that the views and opinions of senior managers were obtained.

Morgan (1988) advises researchers that there should be a number of focus groups for a single topic. One group is insufficient as the researcher will be unable to know whether the outcome is unique to the behaviour of the group.

Given that there was a finite number of managers in the college at a senior level, it was not possible to follow the advice of Morgan. To split the group up would destroy the whole purpose of achieving the dynamics of the focus group and the group size would be below the recommended minimum. Morgan also suggests that a group should be made up of a sample so that every participant is the bearer of the particular characteristic required or that the group has homogeneity of background in the required area; otherwise the discussion will lose focus or become unrepresentative.

It was decided that the group membership was of sufficient equal weight in terms of responsibility and that the group met the criteria specified by Morgan. The researcher was the moderator and chaired the meeting to ensure that there was a balance between being too directive and veering off the point (Morgan 1988).

The interview was arranged over a working lunch to ensure that all of the participants could attend. The moderator directed the interview and a scribe recorded the proceedings by note taking. The questions used during the interview were based on the following themes. (See focus group procedure and questions – Appendix 5).

- To determine what the group of managers thought about the whole process of performance management.

- To determine the group's opinion on the effectiveness of the balance scorecard in achieving the college operational plan and the effectiveness of the performance and development review.

- To consider how operational planning can be improved for the next session 2002-2003.

- To develop strategies for next stage of development.

The moderator commenced the interview by welcoming the group and thanking them for taking the time to attend. An overview of the purpose of the focus group was given and the rules for discussion explained. Confidentiality was also discussed. As in other areas of this study, however, the information which would result from the focus group would have an influence on future development of performance management in the college. It was confirmed that the participants, for the purpose of the study, would be anonymous.

Analysis of the interview followed a systematic and verifiable process. The moderator and the scribe compared notes immediately the discussion finished. Observations of the group were shared and there was a discussion relating to the participants' responses to key questions. The scribe prepared a written summary of the discussion within a short period of time and this was mutually agreed with the moderator as being a true record of the discussion.

4.7 Reflective diary

Edwards and Talbot (1994) suggest that the advantage in keeping a diary is twofold. Firstly it can provide a legitimate source of data which can be drawn upon when addressing issues of design and methodology. Secondly it acts as a source of information in a way that is far more reliable than the memories of most practitioner researchers.

Early in this research study it was advised that a research diary should be kept. This was an action research project and very quickly a substantial amount of evidence from meetings and visits started to accumulate.

The actual diary consisted of two components. A loose leaf folder was used to locate, in chronological order, notes of important observations, anecdotal evidence and copies of loose leaf literature obtained from various sources. The other component utilised the college Groupwise email system where minutes of meetings, email messages and electronically transmitted documents were stored.

Documents were stored in chronological order but were searched for using the find facility. The volume of information making up the diary was substantial.

Edwards and Talbot indicated that a well kept diary can provide a major database for an action research study. It holds information that can be classified as findings and therefore provides both a data source and a structure which supports reflection on practice.

4.8 Data analysis

Data from the research for this study was gathered in both qualitative and quantitative form. Robson (1997) suggests that this is a multi-method approach. Qualitative data was obtained from the analysis of the information on performance management. This was obtained from one industry source where it was being introduced and from two other further education colleges. Qualitative data was also obtained from the analysis of a focus group interview, an interview with an HMI and information obtained from the researcher's reflective diary.

Quantitative data was obtained from the analysis of College Operational Plans and a questionnaire issued to staff who were involved in the performance management system.

Tesch (1990) produced a complex typology of qualitative analysis which consisted of twenty six different kinds of approach to qualitative research. This was subsequently reduced to four basic groupings:

- The characteristics of language.

- The discovery of regularities.
- The comprehension of meaning of text or action.
- Reflection.

With this grouping there is a progression from a structured approach to a less structured and formal approach, the final grouping 'reflection' being one whose proponents are particularly resistant to any systemisation of their analytical process (Robson, 1997).

The study was based on action research therefore a significant amount of research was required in order to develop a system of performance management which could be implemented. The literature review helped to establish the structure of a performance management system and the information gathered from industry and other colleges helped to develop the actual model.

Yin (1984, p. 106) describes two possible strategies for the analysis of qualitative data, these are 'Basing the Analysis on Theoretical Propositions' and 'Basing the Analysis on a Descriptive Framework'. The former strategy is based on a set of theoretical propositions which will have assisted in framing the research questions. The latter strategy does not start with a particular theoretical framework; instead one is looking for a set of themes or areas, linked to the research question, which appear to give adequate coverage of the case (Robson, 1997). This approach is considered inferior by Yin. A third approach, involving 'Exploring the Data', is also considered to be dubious by Yin as it does not provide guidance in selecting which aspects of the data to concentrate on, or how to go about dealing with them.

Data were gathered almost from the start of the study. A reference system was devised in order that data could be cross referenced and analysed on an on-going basis. This was important as the data would provide information on how to develop the performance management system.

Quantitative data was obtained from the analysis of the college Operational Plans and the staff questionnaire. Consideration was given to using SPSS (Statistical Package for the Social Scientist); however, given the relatively small sample of questionnaires, Excel software was found to be satisfactory and was able to analyse all of the quantitative data. Quantitative data from the results of the questionnaire were analysed using inferential statistical analysis. The chi-squared test is a key method used to establish whether or not the two variables of a contingency table are independent of each other. The test is based on the differences between the actual observed frequencies and the frequencies which would be expected if the null hypothesis were true, (Sapsford 1999).

At each stage of the data analysis, the outcomes were shared between other senior managers. This allowed comments to be made as to whether the outcomes of the data analysis were plausible. In all cases there was agreement that the outcome was realistic.

4.9 Reliability and validity

During the various stages of this research study it was necessary to ensure that the study was not compromised by the position of the researcher in the college. The researcher held a senior management post and was also responsible for the implementation of the system of performance management. The risk scenario to this is that staff may participate to please the researcher or that the researcher has the power to impose on those participating in the study. If this was to happen the validity of the outcomes of the study could be questioned.

Murray and Lawrence (2000) indicate that in qualitative research extraneous variance is reduced by adherence to ethical procedures, by declaration of known interests and preferments, and by careful accounting for the subjective features of the enquiry.

The study collected data from both qualitative and quantitative sources. Quantitative research can be replicated by other researchers and can be subjected to statistical analysis. Qualitative research reliability and validity can be regarded as a fit between what researchers record as data and what actually occurs in the natural setting that is being researched, i.e. a degree of accuracy and comprehensiveness of coverage (Bogdan and Bilken, 1992). Lincoln and Guba (1985) suggest that credibility in naturalistic enquiry can be addressed by prolonged engagement in the field; persistent observation; triangulation; peer debriefing; negative case analysis; and number checking.

The process of developing the system of performance management was introduced into the college in the same manner as other initiatives had been introduced. The concept, the benefits, the procedure and the logic behind the system of performance management went through normal college procedures. Approval was obtained from the Principal, the Personnel Sub-Committee of the Board of Management and the Senior Management Team. Thus from a staff perspective this new concept was like many other. The developments followed the guidelines proposed by Lincoln and Guba in that teams were involved in the development and, although the initial meetings were chaired by the researcher, the process was then taken forward by team leaders with their teams. External pressures to which staff could relate were the main drivers of the need to introduce performance management and staff could see the relationship of this and the need for it.

Triangulation and peer debriefing were essential components used during the study. A manager from another FE college was invited to the early meetings of the development and provided feedback on the proposals. Another manager from a different FE college reviewed the process towards the end of the study and offered comments.

Internally in the college the Staff Development Co-ordinator offered constructive criticism throughout the study to ensure that there was an ethical approach to the process.

Miles and Huberman (1994) suggest that triangulation is supposed to support a finding by showing that independent measures agree with it or, at least, do not contradict it. Devlin's (1978) classic distinctions of triangulation as cited by Miles and Huberman, identified the following methods.

- Data source (persons, times, places, etc).
- Method (observation, interview document).
- By researcher (investigator A, B, etc).
- By theory (data type).

Reliability and validity is further strengthened through feedback from informants. Corroboration of the effects of the study were obtained from staff involved in the process of Performance Management. Blumer (1969) suggests that the observant actor in the setting is bound to know more than the researcher ever will about the realities under investigation.

Qualitative data checks were carried out by involving peers within the college and external validators and expert speakers at conferences and seminars. Information obtained from external sources was cross-referenced to ensure that there was agreement with the findings. Documentary evidence supported qualitative findings.

The method of implementation was not only checked for reliability through the findings from external sources, but was also checked statistically. Quantitative analysis of the findings of the analysis of the operational plans and the staff questionnaire were subjected to statistical interpretation. This could be replicated by another researcher.

The research avoided bias by ensuring that at all times ethical procedures were followed. Miles and Huberman (1994) indicate that there are two possible sources of bias: (A) the effects of the researcher and (B) the effects of the case on the researcher. In the case of bias, steps were taken to remain as unobtrusive as possible

during the study and allowing College management procedures to take place. Checks for type B involved sharing findings with colleagues for interpretation and analysis and keeping the research aims firmly in mind. As theory supporting the study was well documented, there was sufficient information available to permit cross checking on a regular basis. It was recognised by the researcher that, due to the professional closeness of the research there is always the risk of bias emerging.

CHAPTER FIVE

Analysis of results

5.1 Evaluation of information gathered from one industrial source

The industrial organisation which provided evidence of their system of performance review was a large organisation involved in grain distilling and cooperage and was one of the top 100 of European Companies (Scotsman 08-02-2002).

There were two main aims of the organisation's performance review system:

- to ensure achievement of results through people;
- to develop the highest standards of management performance.

The performance review process was made up of four interlinked elements:

- Objective setting and review.
- Management competencies.
- Overall summary of performance.
- Development planning.

The performance review system is used to manage the top 25 per cent of people who manage other people. It is currently in the process of linking its business planning to the review system.

The performance review system is based on an objective setting model which is linked to a performance rating scale. This scale rated the achievement of objectives, competency and an overall summary of performance. Figure 5.1 shows the rating scales.

Figure 5.1
Industrial Organisation Rating Scales.

	OBJECTIVES	COMPETENCY	OVERALL
1. Excellent	Met all priority and subsidiary objectives and over achieved on most	Exceeds requirements in nearly all respects	Performance and contribution consistently above expectations
2. Very good	Met all priority and subsidiary objectives and over achieved on some	Exceeds requirements in some respects	Performance and contribution generally above expectations
3 Good / Performs to required standards	Successfully met both priority and subsidiary objectives	Meets requirements	A good performance Met expectations to the standards required
4. Requires improvement	Results not achieved in some priority areas	Needs to develop to meet requirements	Did not meet expectations in one or two key areas
5. Unsatisfactory	Inadequate achievement of objectives	Does not meet requirements	Performance failed to meet expectations
DV Developing	This definition will normally relate to individuals new in role whose contribution is expected to grow with time		

In addition to the rating system each manager has to be assessed in terms of the following areas:

- Strengths.
- Areas for improvement / weakness.
- Experience gaps.

The final assessment is to rate any other significant achievements achieved during the year that were not covered by objectives.
The overall performance rating is linked directly to the annual salary review.

Part of the review is designed to produce a shared profile of the individual drawn partly from ratings identified in Figure 5.1 and what the organisation considered to be realistic aspirations for development.

Armstrong and Baron (2000) also reviewed this organisation and commented that the effectiveness of the performance management system is measured against a number of key performance indicators linked to the strategy and operating plan. Performance management processes are also evaluated against achievement of business targets. One other interesting comment made by Armstrong and Baron is that they suggest that the performance management processes are so closely integrated with other aspects of managing the business that it is impossible to separate out these individual effects.

In addition to the review process this organisation operates a 360° feedback process. The purpose of this process was to help managers identify and develop key behaviours. This process involved collecting feedback from ten other individuals based on the completion of a feedback questionnaire. The manager also had to complete a self questionnaire.

The feedback questionnaire had twenty five statements with a 0 to 4 rating scale, the scale was as follows:

0 I do not demonstrate this behaviour.
1 I sometimes demonstrate this behaviour.
2 I quite often demonstrate this behaviour.
3 I frequently demonstrate this behaviour.
4 I consistently demonstrate this behaviour.

The performance of all other staff uses local adaptations of the performance review process. The organisation is production orientated therefore targets are very much a way of life for managers. Salaries are also linked to the rating system.

5.2 Evaluation of performance management system in two colleges of further education

Documentary evidence was obtained from two Further Education Colleges, one in Scotland and one in England. The Scottish college performance management system was based on a system that had been developed by Management Consultants specifically for the college. It has been operating for a period of six years.

The aims of the performance management system were to make sure managers and staff have:

- shared expectations – knowing what they are supposed to be delivering and whether they are delivering it.
- appropriate training and development – in support of the delivery of their objectives.
- recognition – knowing that they and their contributions to the organisation achievements are valued.

There were four principal phases of the Performance management cycle:

- Planning performance.
- Managing and developing performance.
- Reviewing performance.
- Rating performance.

A feature of the performance planning was that there were two key areas. Objectives (what has to be achieved) as a performance measure and behaviour (how the results

were achieved). It was the role of managers to discuss and agree with staff the appropriate balance between objectives and key behaviours.

Objectives and key behaviours were reviewed against a four point rating scale aligned to a behavioural index e.g.

Rating	Key Behaviour
1	Unacceptable Performance.
2	Incomplete Performance.
3	Fully Effective Performance.
4	Outstanding Performance.

The key behaviours identified were:

Client Orientation.

Teamwork and Flexibility.

Initiative.

Professional Development.

Concern for Order and Quality.

Personal Effectiveness.

Team Leadership.

For each of the key behaviour areas there were statements which had to be used to determine the performance rating. The statements were analysed to show the complexity of the decision making process. The number of times a term has been used is quantified numerically. The majority of the descriptive terms are subjective.

A content analysis of the unacceptable performance element found descriptive terms such as Does not x 12; fails to x 2; unwilling x 2; a disregard x 3; shows no interest; consistently fails; shirks; never; will not.

Following the same form of analysis for the incomplete performance the following descriptive terms were found. Occasionally fails x 2; does not x 4; generally abides x 2; lacks; only; would not; reluctant to x 2.

Fully effective performance had the following descriptive terms. Ensures x 3; willing x 3; consistently x 3; provides; honours; participates; displays; anticipates; able to; helps; ensures; motivates; communicates.

Outstanding performance had no descriptive terms as examples. Where a manager gave such a rating an explanation of the performance was expected to substantiate the rating.

Key objectives were measured against the 14 standards of the Scottish Quality Management System (SQMS). It should be pointed out at this stage that these indicators themselves were also subdivided which gave a potential total of 85 measures. The Performance Management System linked objectives to one or more of the SQMS standards.

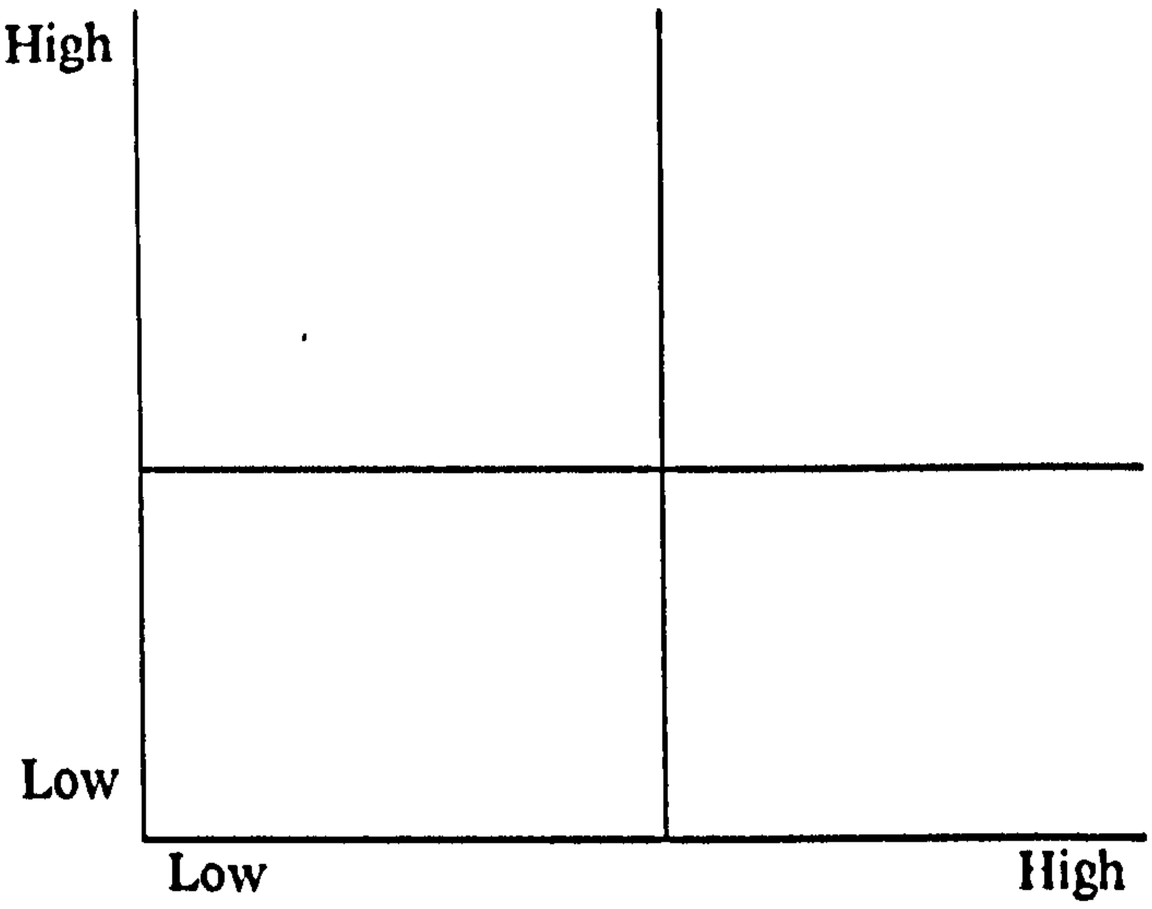
There were four main principles to be observed when identifying objectives:

- driven by college plans.
- unique to an individual job holder (or team).
- updated regularly.
- measurable.

One other feature of this system was that of using what was termed "The Performance Lever Matrix". The concept of this was that the aim of performance management was to lever the performance of the organisation through individual actions then individuals should focus on actions which would have an impact on organisation performance and over which they are able to influence control. The following Figure 5.2 shows this relationship.

Figure 5.2: The performance leverage matrix

"A good objective should maximise both of the criteria:



The optimum source for objectives is in the top right-hand quadrant because they will have high organisation impact and are subject to high personal influence.

Team based objectives were not identified as being a significant requirement of this system.

The system was controlled through the use of a comprehensive guide which contained notes and proformas.

The English college was in the process of developing its Performance Management System which they called Business Performance Management (BPM). The key elements of the methodology were as follows:

- The identification of key College's activities that are crucial to its success.
- The determination of the performance indicators that best measure success.
- The agreement of College targets for each performance indicator.

- The allocation of responsibility for achieving targets to individual or groups of managers.
- The regular reporting of performance against these targets to managers.
- The periodic formal review of each individual (or group) of manager's progress towards each agreed target by the Senior Management Team.
- The agreement of corrective action if necessary.
- The re-allocation of resources to areas of the College in line with their success and development needs.

The advantages to the college of this methodology was that there was a direct link between operational management objectives and corporate / strategic objectives. Accountability was given to individuals and teams. Teams had a series of reference points to help them focus on activities that contribute to the success of the college. There was a focus for the development of information and evidence based management. Resources would be allocated in line with activity levels and development need, which would lead to improved efficiency.

The BPM system provided a focus for the management of team activity in the college. It was also to be integrated into planning and review processes. The college had seven corporate priorities. These were:

- Students.
- Provision (attendance, retention, achievement, destinations).
- Partnership.
- Financial Health.
- Human Resources (staffing, appraisal, training).
- Other Resources.
- Quality.

Existing college targets were used to set the objectives and targets for individual teams. These targets were reviewed three times per year. The reviews took place over a two week period and were conducted by a panel comprising the Senior

Management Team. The reviews were conducted on the basis of the performance of individual teams against the target for each of the agreed set of BPM performance indicators. Managers were expected to discuss and explain their progress towards targets and to highlight what they and their teams were doing to address any shortfall in performance. A summary of the BPM review is reported to the College Governing Body.

5.3 Summary of study of industrial organisation and two FE colleges

The findings of the study of these three organisations concluded that the organisations could be identified as following two separate methodologies in relation to performance management. The Scottish College and the industrial organisation were very much basing their performance management systems on rating systems and individual target setting. The English College system was based on a team approach very similar to the balanced scorecard process.

Armstrong (2000) argues that ratings are largely subjective and can be a superficial and arbitrary judgement. It limits a forward looking and developmental focus. To label people as 'average' or 'below average', or whatever equivalent terms are used is both demeaning and demotivating. Fletcher (1993) suggests that the use of ratings to compare individuals (even overall performance ratings), for so long a central element of appraisal forms and processes, is now declining. Armstrong and Baron (2000) are also critical of systems which feature ratings. Ratings are likely to be based on subjective judgements; ratings may turn what may have been an open positive and constructive discussion into a top down judgemental exercise. Ratings convey opinions about past performance but do not indicate future actions.

The industrial organisation linked pay to performance therefore a rating system was a pre-requisite of their performance management system.

The English College BPM had many of the features of a performance management system. The following Figure 5.3 allows a comparison to be made between the three

organisations and is based on performance management features which encourage a balanced approach (Wright and Brading, 1992).

Figure 5.3

Comparison of organisations against performance management features

Performance Management Feature	Industrial Organisation	Scottish College	English College
Less retrospective More forward planning	Uses a significant amount of retrospective evidence	No evidence of regular update Reviews more retrospective	Three review meetings held each year Forward looking programme
Identification of skills and capabilities	Objective setting model competency measured	Identified through review and rating system	Identified through team approach to achieving objectives
Qualitative outputs recognised	Mostly quantitative outputs	A mixture of quantitative and qualitative outputs	Qualitative outputs recognised in corporate priorities
Freer upwardly managed process	Top down approach	Top down approach	Accountability given to individuals and teams
Individual's contributions to team focus	Individual approach	Mostly individual approach	Team approach
Concern to improve individual rather than assess it	360° appraisal used to identify areas of concern	Behaviour objectives agreed at review	Human resources seen as corporate objective which includes team and individual training
No ratings of performance	Yes uses rating system	Yes uses rating system	No ratings

From an analysis of the information in Figure 5.3 the English College appears to meet most of the criteria of a performance management system. Many of the features of the English college system can be found in the system of performance management developed for this study.

5.4 The Analysis of the college development plan for the period academic year 2000-2001 and the college operational plan for the academic year 2001-2002

The purpose of analysing the Development Plan for the year 2000-2001 and the Operational Plan 2001-2002 was to find out how the system of performance management using the balance scorecard changed the plan.

An example of the operational plan for a team in the college can be found in Appendix 6. The operational plan is a substantial document which sets out the mission statement, the aims of the college, a review of the previous year's operational objectives and the operational objectives for the next year.

The data obtained from the analysis of each operational plan was analysed as follows.

Table 5.1 shows that there were twenty nine teams involved in producing the 2000-2001 Development Plan. Table 5.2 shows that there were three teams less which totalled twenty six teams. The reason for this was that the planning process for 2000-2001 allowed Heads of School (HOS) to have a section in the plan which referred to generic areas of their school. One of the changes made to operational planning was that all objectives had to be related to a team in order to establish and confirm ownership of the objectives. There was evidence that when an objective was generic it was difficult to identify who was specifically responsible for achieving it.

One important observation which has to be made before commenting on the statistics of the tables was in relation to the S section (Staffing) of Table 5.1 (a detailed breakdown of the codings used in the analysis of the tables is given chapter 4.

When the balance scorecard development team identified the five focus areas a cross- reference check was made to ensure that there was a match with the strategic aims of the college. It was found then that there was no strategic reference which referred to staffing. This was corrected for the 2001-2002 Operational Plan and the effect of this can be seen in Table 5.2.

A second observation in respect of the analysis of the Development Section is that although the balance scorecard had not been developed for the 2000-2001 plan the strategic aims were the same, apart from not having a staffing objective. It was therefore possible to cross match the development objectives for 2000-2001 with the balanced scorecard focus areas developed for the 2001-2002 operational plan. This enabled a direct comparison to be made on an equal basis for both years. The cross match analysis is included in Appendix 7 Balanced Scorecard and Strategic Aims Cross Match.

Tables 5.1 and 5.2 show the number of objectives which relate to each of the five focus areas. The five focus areas of the tables are:

C = Customers

F = Finance

S = Staff

SY = Systems

D = Developments

TABLE 5.1

Objectives per team and focus area 2000-2001

	DEVELOPMENT 2000-2001				
	C	F	S	SY	D
L&E-Generic	0	1	0	1	0
L-Engineering	0	0	0	0	4
L-Agric	0	0	0	0	6
L-Conservation	1	0	0	0	3
L-Animal Care	2	0	0	1	4
BSI-Generic	1	0	0	1	7
HCSS-Generic	1	2	0	1	2
B-Health,Child,Soc.Sci.	0	0	0	0	4
AHSS-CrossSchool	0	0	0	0	2
B-Comp,Creat.Studies	9	0	0	1	6
B-Vehicle Engineering	0	0	0	0	4
B-Bus&Mgt	3	2	0	2	5
B-Food&Hosp	0	0	0	3	8
G-Greenkeeping	2	0	0	0	7
G-Sport	0	0	0	0	9
G-Hort.	1	0	0	0	6
Elm-Golf-Dev.	0	0	0	1	10
Stud.Dev	8	0	0	2	5
Community	6	0	0	0	1
ClientServ(General)	4	2	0	3	0
ClientServ(Supp&Guid)	11	0	0	5	2
CS-CustomerServArea	0	0	0	5	0
CS-LearningRes	4	0	0	7	3
CS-ElmwoodVocTrain	1	1	0	1	5
InformationServ	1	0	0	19	1
Gov,CorpPlanning&Finance	1	4	0	4	0
StaffDev	0	0	0	9	0
Personnel	0	0	0	9	0
Marketing	3	0	0	1	5
TOTALS	59	12	0	76	109
AVERAGE	2.03	0.41	0.00	2.62	3.76

TABLE 5.2

Objectives per team and focus area 2001-2002

	DEVELOPMENT 2001-2				
	C	F	S	SY	D
L-Engineering	1	2	1	1	4
L-Agric&Equine	3	2	1	3	5
L-Conservation	3	1	1	1	4
L-Animal Care	2	2	3	1	5
B-Health,Child,Soc.Sci.	9	2	4	1	7
B-Comp,Creat.Studies	3	1	4	1	9
B-Access&Commun.	3	0	2	2	2
B-Bus&Mgt	4	4	4	2	3
B-Food&Hosp	4	3	5	2	5
G-Golf	7	2	3	2	11
G-Sport	4	4	3	6	5
G-Hort.	4	1	1	1	2
Elm-Golf-Dev.	3	5	5	2	6
Stud.Dev	4	2	3	1	4
Community	5	2	3	4	6
ClientServ(General)	5	2	2	1	3
ClientServ(Supp&Guid)	3	0	1	1	10
CS-CustomerServArea	3	1	1	2	2
CS-LearningRes	4	3	4	4	5
InformationServ	4	0	3	6	7
Gov&CorpPlanning	3	2	3	1	2
Finance	2	6	4	4	1
StaffDev	4	3	2	3	3
Personnel	4	1	1	4	1
Marketing	2	1	1	0	2
Proj&FundDev	6	3	2	3	5
TOTALS	99	55	67	59	119
AVERAGE	3.81	2.12	2.58	2.27	4.58

Table 5.1 and 5.2 provide the first evidence of the change which has occurred through the introduction of the balanced scorecard. The total number of objectives have increased significantly from a total of 256 in Table 5.1 to 399 in Table 5.2. It can be seen that this is due to there being large increases in the C, F and S areas. The reason for this is directly related to the fact that a scorecard has to have a balanced

set of objectives. The distribution of objectives in Table 5.1 shows that there was not a proportionate balance. The following charts 1 and 2 show graphically how the distribution of the objectives have changed to give a more balanced set of objectives

CHART 1
Average responses for Table 5.1

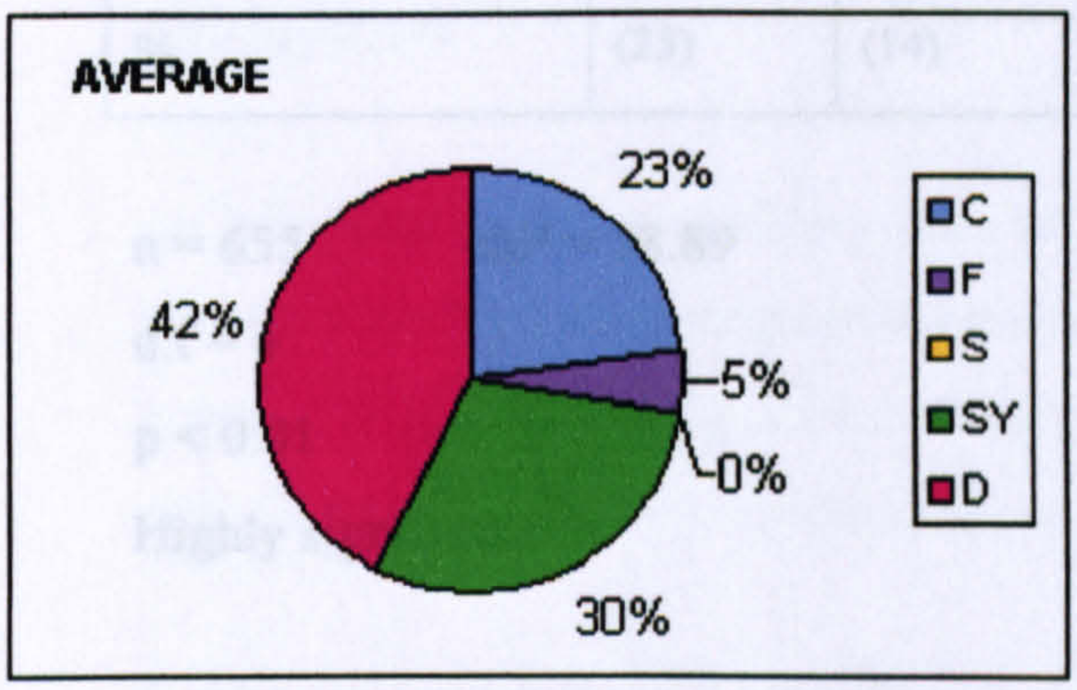


CHART 2
Average responses for Table 5.2

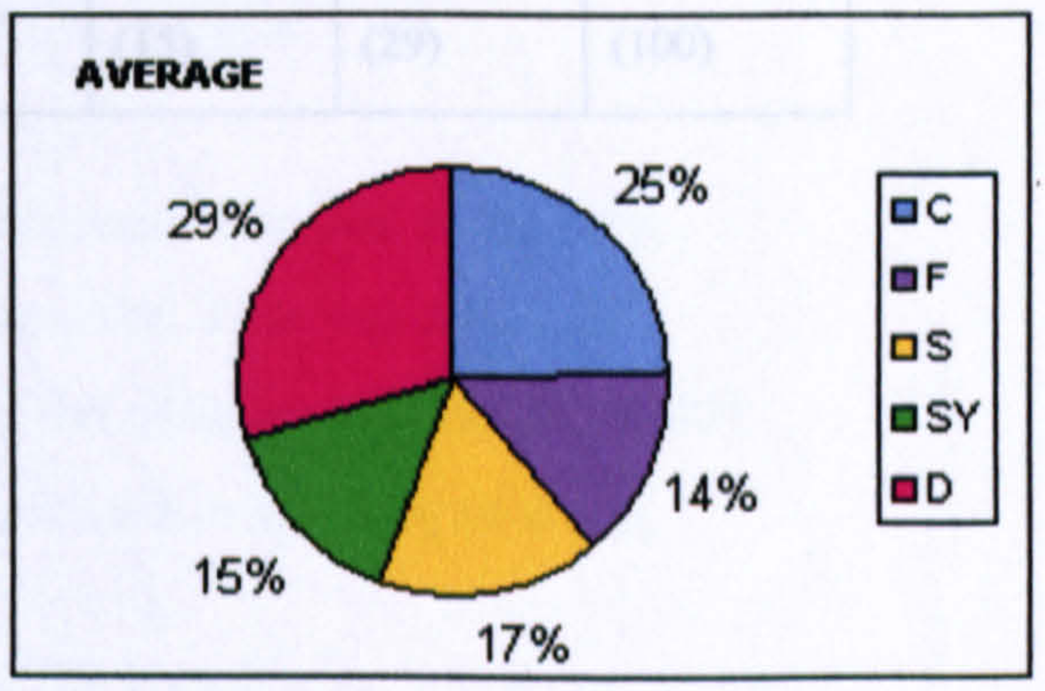


Chart 1 has none of the staffing objectives which can be seen in chart 2. Where there is less emphasis on development, which the previous plan was more focussed on.

This analysis also provided each team with a comparison of their objectives with the overall average for each focus area. Teams which were significantly different from the average had clearly not followed the guidelines which were that each focus area should have 3 to 4 achievable objectives. From table 5.1 it can be seen that the sport team had nine objectives all relating to development. Table 5.2 shows that when the balanced scorecard approach is taken there is a balance for all of the focus areas of the sport team.

A statistical comparison of Table 5.1 and 5.2 as shown in Table 5.3 found the difference to be highly significant; $chi^2 = 78.89$, $P < 0.01$, there was also a significant difference in the finance, staff and system focus areas between each plan.

TABLE 5.3
Comparison of Focus Areas 00/01 – 01/02

DEVELOPMENT	C	F	S	SY	D	TOTALS
Year 00/01	59	12	0	76	109	256
%	(23)	(5)	(0)	(30)	(42)	(100)
Year 01/02	99	55	67	59	119	399
%	(25)	(14)	(17)	(15)	(29)	(100)

n = 655 $chi^2 = 78.89$

d.f = 4

$p < 0.01$

Highly significant

Tables 5.4 and 5.5 are an analysis of the objectives of a team in relation to the strategic aims of the college. When the balanced scorecard was being developed it was decided that for the first two years the aims should be unchanged. The reason for this was that although operational planning is on an annual cycle strategic planning is on a three year cycle. The period 2000-2001 was the first year of the strategic plan which was approved by the Board of Management. The balance scorecard development team decided that the aims for this period should fit the scorecard focus areas and this would be reviewed for the 2003-2004 strategic plan. Cross-referencing an objective to an aim of the strategic plan is a requirement of the funding council.

It was at this stage that it was noticed that there was not a strategic aim related to staffing. A new aim (No 6) was developed for the 2001-2002 operational plan and the strategic plan was amended.

For the purpose of carrying out the comparative analysis aims 6, 7 and 8 were re-numbered 7, 8 and 9 in the 2000-2001 plan, aim 6 would have no cross referenced objectives however all other aims would be compared on a like for like basis.
The five balanced scorecard focus areas were linked to the strategic aims as follows.

Balanced Scorecard Focus Area	Strategic Aims of College
Customers	Aims 1 and 4
Finance	Aim 9
Staff	Aim 6
Systems	Aim 5
Developments	Aims 2, 3, 7 and 8

An individual objective could be cross-referenced to more than one of the aims. When the analysis was being carried out it was found that there was a lack of accuracy in identifying the correct aim for some of the objectives of the 2000-2001 plan. These errors were corrected prior to being included in the analysis count.

Tables 5.4 and 5.5 show the number of objectives which have been cross-referenced with the strategic aims of the college. An objective would be cross-referenced to more than one aim if it was appropriate. The purpose of cross-referencing is to ensure that all of the strategic aims of a college are achieved through the objectives which have been set.

TABLE 5.4

Analysis of objectives cross-referenced to strategic aim reference 2000-2001

	STRATEGIC REFERENCE 2000-2001								
	1	2	3	4	5	6	7	8	9
L&E-Generic	0	0	0	0	1	0	0	0	1
L-Engineering	0	1	2	0	0	0	0	1	0
L-Agric	0	0	5	0	0	0	1	0	0
L-Conservation	0	1	2	1	0	0	0	0	0
L-Animal Care	0	3	0	2	1	0	1	0	0
BSI-Generic	0	0	3	1	1	0	4	0	0
HCSS-Generic	0	0	1	1	1	0	1	0	2
B-Health,Child,Soc.Sci.	0	0	4	0	0	0	0	0	0
AHSS-CrossSchool	0	0	1	0	0	0	0	1	0
B-Comp,Creat.Studies	5	0	4	4	1	0	2	0	0
B-Vehicle Engineering	0	0	2	0	0	0	2	0	0
B-Bus&Mgt	1	0	2	2	2	0	2	1	2
B-Food&Hosp	0	0	5	0	3	0	3	0	0
G-Greenkeeping	2	2	0	0	0	0	1	4	0
G-Sport	0	0	6	1	0	0	2	0	0
G-Hort.	0	0	4	0	0	0	2	1	0
Elm-Golf-Dev.	0	2	0	0	1	0	1	7	0
Stud.Dev	3	0	2	5	2	0	3	0	0
Community	6	0	0	0	0	0	1	0	0
ClientServ(General)	0	0	0	4	3	0	0	0	2
ClientServ(Supp&Guid)	4	0	0	7	5	0	0	2	0
CS-CustomerServArea	0	0	0	0	5	0	0	0	0
CS-LearningRes	2	1	0	2	7	0	2	0	0
CS-ElmwoodVocTrain	0	1	3	1	1	0	1	0	1
InformationServ	1	0	0	0	18	0	1	0	1
Gov,CorpPlanning&Finance	0	0	0	1	4	0	0	0	4
StaffDev	0	0	0	0	9	0	0	0	0
Personnel	0	0	0	0	9	0	0	0	0
Marketing	3	1	0	0	1	0	2	2	0
TOTALS	27	12	46	32	75	0	32	19	13
AVERAGE	0.93	0.41	1.59	1.10	2.59	0.00	1.10	0.66	0.45

TABLE 5.5

Analysis of objectives cross-referenced to strategic aim reference 2001-2002

	STRATEGIC REFERENCE 2001-2								
	1	2	3	4	5	6	7	8	9
L-Engineering	1	2	6	0	1	1	0	1	1
L-Agric&Equine	2	3	3	3	4	2	0	4	2
L-Conservation	3	2	2	5	2	1	2	2	2
L-Animal Care	3	1	5	1	4	3	2	1	2
B-Health,Child,Soc.Sci.	11	0	9	0	7	7	1	5	2
B-Comp,Creat.Studies	3	0	7	3	7	3	1	0	3
B-Access&Commun.	5	0	6	6	7	5	0	0	0
B-Bus&Mgt	4	0	5	1	5	4	0	1	4
B-Food&Hosp	2	0	3	0	10	5	3	0	3
G-Golf	6	5	12	12	12	10	2	0	2
G-Sport	10	0	12	0	9	4	0	3	5
G-Hort.	4	0	3	0	2	1	1	1	5
Elm-Golf-Dev.	0	6	3	1	10	7	6	3	2
Stud.Dev	8	0	8	0	6	3	2	0	3
Community	5	0	6	6	4	4	3	0	2
ClientServ(General)	3	0	0	8	6	2	0	0	2
ClientServ(Supp&Guid)	7	2	2	11	9	1	2	0	0
CS-CustomerServArea	0	0	0	3	4	1	0	0	1
CS-LearningRes	0	0	0	8	16	6	0	0	4
InformationServ	0	0	1	3	14	4	0	0	4
Gov&CorpPlanning	2	1	2	2	1	4	0	0	2
Finance	4	0	0	0	13	5	0	0	11
StaffDev	0	0	0	0	10	8	0	0	3
Personnel	0	0	0	0	9	5	0	0	2
Marketing	5	1	1	0	2	1	2	1	0
Proj&FundDev	1	1	2	3	6	2	4	4	11
TOTALS	89	24	98	76	180	99	31	26	78
AVERAGE	3.42	0.92	3.77	2.92	6.92	3.81	1.19	1.00	3.00

What was found from the analysis of both Table 5.4 and Table 5.5 was that there had been a greater degree of rigour applied to matching objectives with the strategic aims for the 2001-2002 period than for the 2000-2001 period. There was also an increase in the number of objectives which were cross-referenced to the aims however this was to be expected given the increase in the objectives overall (Table 5.3).

When statistical analysis of the totals of Tables 5.4 and 5.5 as shown in Table 5.6 were compared, the difference was highly significant.

TABLE 5.6
Comparison of Strategic Aims 00/01 – 01/02

AIM	1	2	3	4	5	6	7	8	9	TOTALS
Year 00/01	27	12	46	32	75	0	32	19	13	256
%	(11)	(5)	(18)	(13)	(28)	(0)	(13)	(7)	(5)	(100)
Year 01/02	89	24	98	76	180	99	31	26	78	701
%	(2)	(4)	(7)	(9)	(11)	(13)	(16)	(18)	(20)	(100)

$n = 957$ $\quad chi^2 = 70.27$

$d.f = 8$

$p < 0.01$

Highly significant

There were significant differences between the two years as can be seen in Table 5.6. Caution, however, has to be exercised in making meaningful comparisons of the data. In measuring the percentage change from year 00/01 to 01/02 there was a noticeable difference between all of the aims with the exception of aim 7 which remained reasonably stable. The data can also be analysed in relation to the scorecard focus areas as follows.

TABLE 5.7
Strategic Aim Analysis in Focus Group Areas

Balanced Scorecard Focus Area	Strategic Aims	% of 00/01 Objectives	% of 01/02 Objectives
Customers	Aims 1 and 4	24%	11%
Finance	Aim 9	5%	20%
Staff	Aim 6	0%	13%
Systems	Aim 5	28%	11%
Developments	Aims 2, 3, 7 and 8	43%	45%
Totals		**100%**	**100%**

Table 5.7 provides a comparison of how the objectives for each operational plan were related to the strategic aims and focus area. It is clear that the concept of achieving a balance across the five focus areas has been achieved when the percentages for each year are compared. Table 5.7 also highlights the fact that to have nine aims but only five focus areas is not satisfactory and should be changed.

CHART 3
Average of responses for Table 5.4

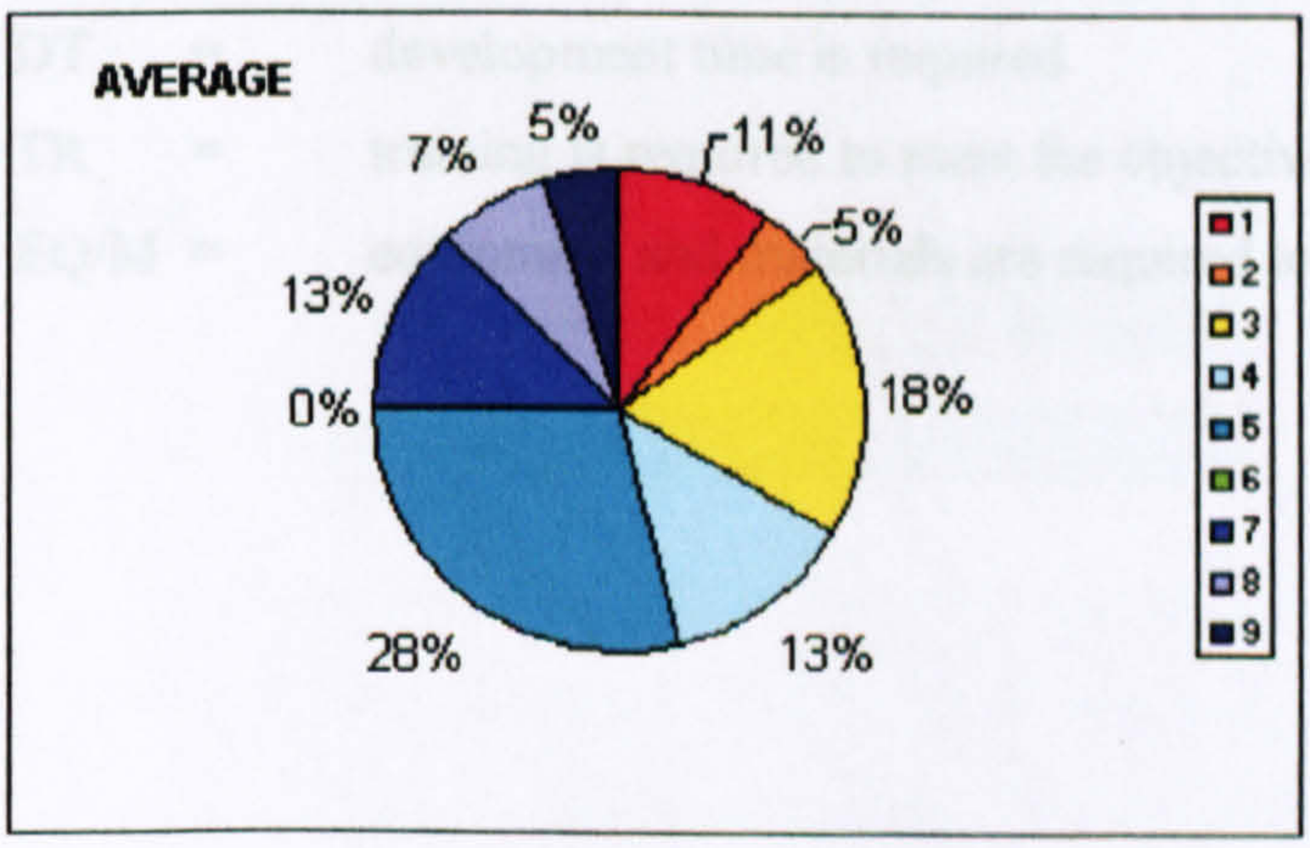
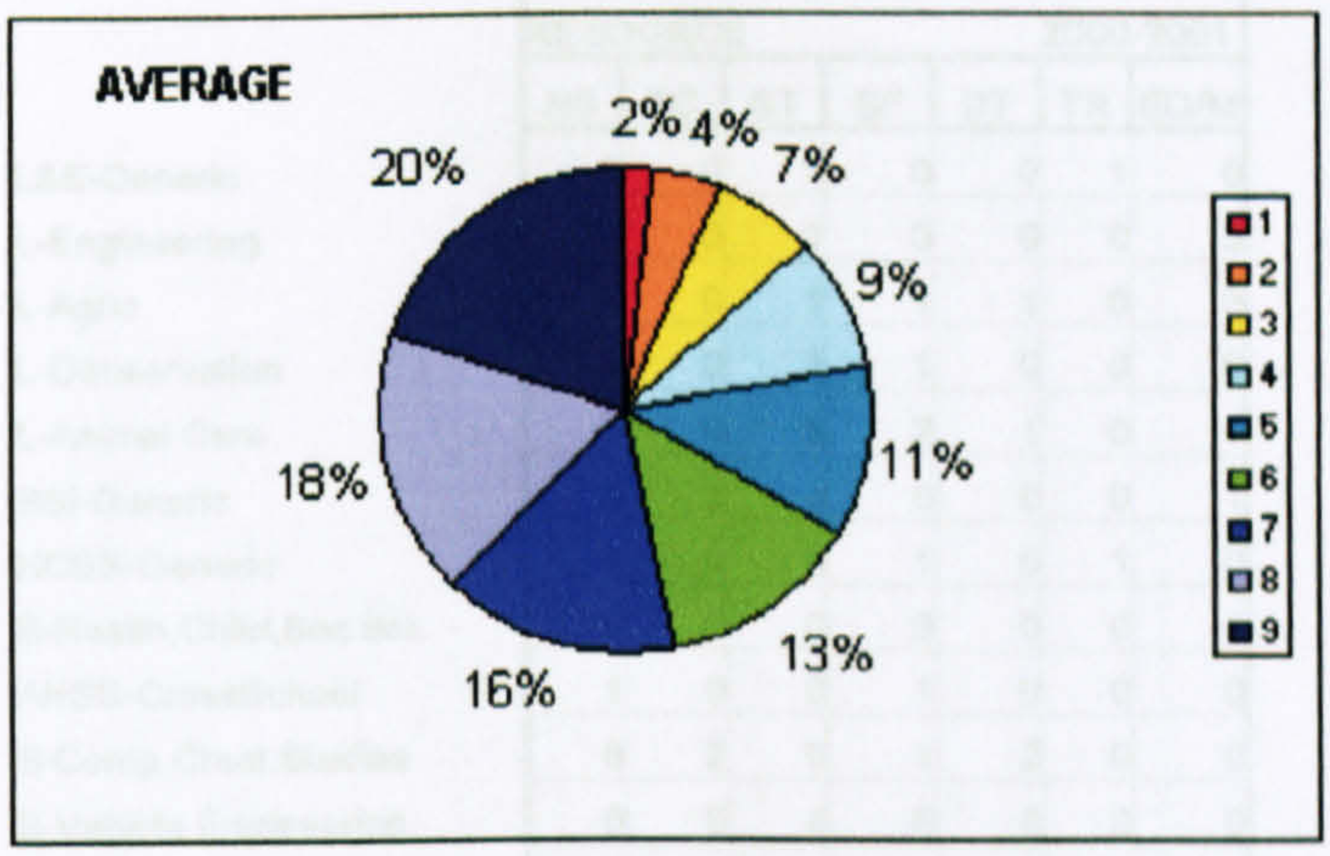


CHART 4

Average of responses for Table 5.5



Tables 5.8 and 5.9 help to identify resources which if not provided will affect the ability of teams to deliver their objectives. It also enables trends to be monitored from year to year. The codes used to identify the resources are as follows:

NS = the resource has not been specified.

SC = a staff cost.

ST = staff time is required to achieve the objective.

SF = additional staffing is required.

DT = development time is required.

TR = training is required to meet the objective.

EQ/M = equipment and materials are required to meet the objective.

TABLE 5.8

Resources required to enable objectives 2000-2001

	RESOURCE 2000-2001						
	NS	SC	ST	SF	DT	TR	EQ/M
L&E-Generic	0	0	1	0	0	1	0
L-Engineering	0	0	1	0	0	0	3
L-Agric	2	0	1	1	1	0	3
L-Conservation	0	0	3	1	0	0	0
L-Animal Care	0	0	3	2	1	0	1
BSI-Generic	5	1	4	0	0	0	1
HCSS-Generic	4	0	0	1	0	1	0
B-Health,Child,Soc.Sci.	0	0	0	3	0	0	1
AHSS-CrossSchool	1	0	0	1	0	0	0
B-Comp,Creat.Studies	6	2	5	1	2	0	0
B-Vehicle Engineering	0	0	4	0	0	0	0
B-Bus&Mgt	2	0	7	1	1	1	3
B-Food&Hosp	4	1	4	1	1	0	0
G-Greenkeeping	2	0	3	0	5	0	0
G-Sport	1	1	4	0	1	0	3
G-Hort.	0	0	1	0	4	0	2
Elm-Golf-Dev.	1	0	8	2	0	0	2
Stud.Dev	10	0	0	4	0	0	1
Community	2	4	0	0	0	0	3
ClientServ(General)	3	2	1	0	0	1	2
ClientServ(Supp&Guid)	10	0	3	1	0	0	4
CS-CustomerServArea	1	0	1	0	0	0	3
CS-LearningRes	3	0	8	0	0	0	3
CS-ElmwoodVocTrain	6	0	1	1	0	0	0
InformationServ	3	0	6	2	0	0	12
Gov,CorpPlanning&Finance	9	0	0	0	0	0	0
StaffDev	4	0	5	0	0	1	0
Personnel	1	0	2	0	0	0	6
Marketing	0	4	4	1	0	0	0
TOTALS	80	15	80	23	16	5	53
AVERAGE	2.76	0.52	2.76	0.79	0.55	0.17	1.83

TABLE 5.9

Resources required to enable objectives 2001-2002

	RESOURCE 2001-2						
	NS	SC	ST	SF	DT	TR	EQ/M
L-Engineering	2	1	6	0	0	1	1
L-Agric&Equine	2	0	7	1	0	0	7
L-Conservation	0	0	8	1	1	0	1
L-Animal Care	0	0	9	4	0	0	2
B-Health,Child,Soc.Sci.	0	0	8	8	5	0	3
B-Comp,Creat.Studies	4	0	6	2	0	3	3
B-Access&Commun.	0	0	2	0	2	2	4
B-Bus&Mgt	0	1	9	1	3	2	1
B-Food&Hosp	2	1	1	2	9	3	2
G-Golf	3	0	15	0	0	4	9
G-Sport	7	0	3	5	2	3	3
G-Hort.	3	0	3	0	1	1	1
Elm-Golf-Dev.	0	0	18	0	0	7	9
Stud.Dev	1	0	1	5	1	0	10
Community	3	0	3	3	3	0	10
ClientServ(General)	3	1	1	3	0	0	8
ClientServ(Supp&Guid)	2	0	2	3	0	2	9
CS-CustomerServArea	1	0	4	0	0	0	7
CS-LearningRes	0	0	14	0	0	0	6
InformationServ	3	0	9	0	0	1	8
Gov&CorpPlanning	8	0	1	0	0	0	2
Finance	1	0	8	0	0	5	3
StaffDev	0	0	7	0	0	0	11
Personnel	1	0	3	0	0	0	10
Marketing	0	0	0	5	0	0	2
Proj&FundDev	14	0	4	0	1	0	0
TOTALS	60	4	152	43	28	34	132
AVERAGE	2.31	0.15	5.85	1.65	1.08	1.31	5.08

The following charts 5 and 6 give a graphical interpretation of the Tables 5.8 and 5.9. The non specific (NS) areas for 2001-2002 show a significant difference down from 30% to 13%. This is another indication of a more rigorous approach to objective setting having an effect.

CHART 5

Average of responses for Table 5.8

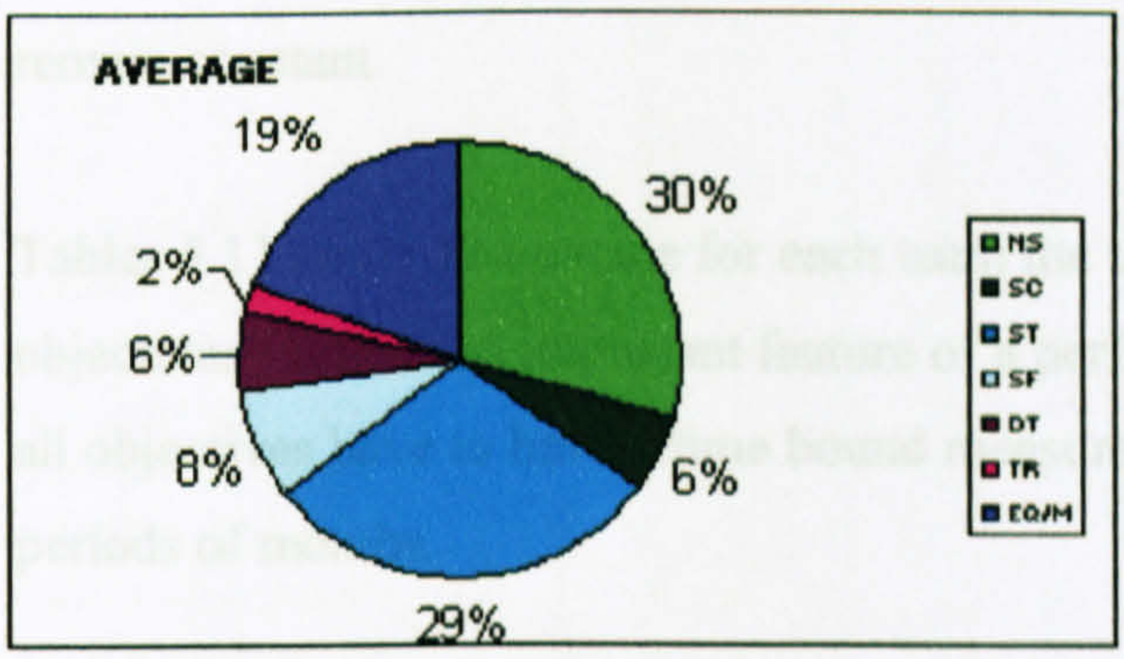
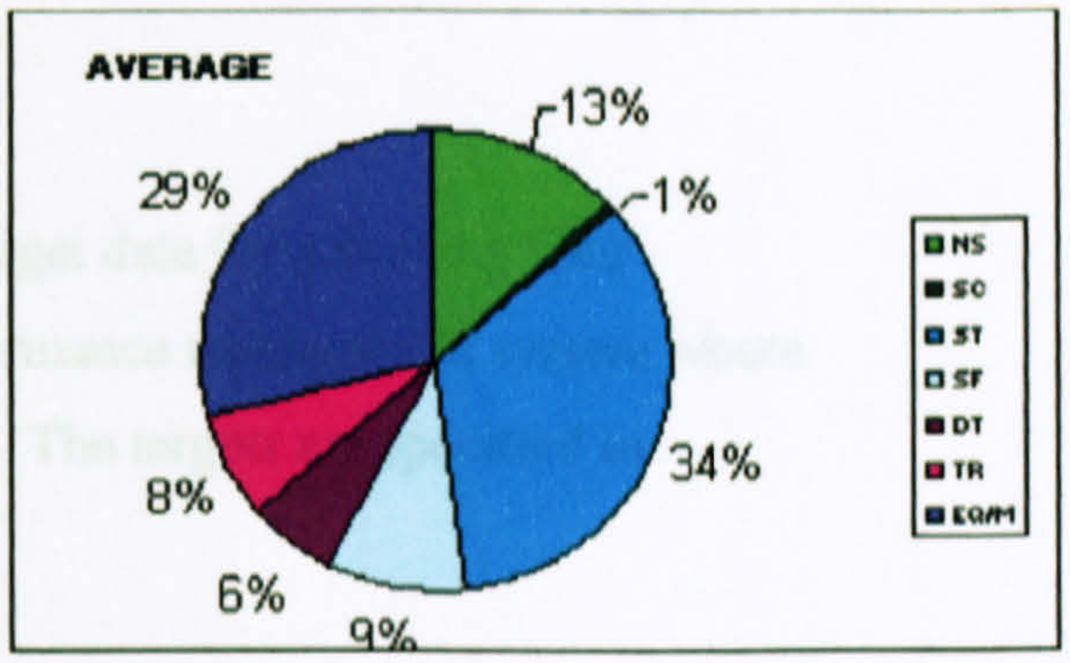


CHART 6

Average of responses for Table 5.9



The other significant change areas can be determined from a statistical analysis of the following.

TABLE 5.10
Comparison of Resource Requirements 00/01 – 01/02

RESOURCE	NS	SC	ST	SF	DT	TR	EQ/M	TOTALS
Year 00/01	80	15	80	23	16	5	53	272
%	(30)	(6)	(29)	(8)	(6)	(2)	(19)	(100)
Year 01/02	60	4	152	43	28	34	132	453
%	(13)	(1)	(34)	(9)	(6)	(8)	(29)	(100)

$n = 725$ $chi^2 = 54.41$

$d.f = 6$

$p < 0.01$

Highly significant

The area of staff costs is down by 5%. However from analysing the operational plans the interpretation of staff costs was always imprecise. The links between the staff performance and development review and the operational plan can be seen with the significant difference in the training area between both years. It has increased

from 2% to 8%which is significant and confirms the link between the operational plan, the performance and development review and the staff training required to meet the objective. Equipment and materials is the other significantly different area showing a 10% increase in the 2001-2002 period. Staffing and development time remain constant.

Tables 5.11 and 5.12 indicate for each team the target date for achieving their objectives. This is an important feature of a performance management system where all objectives have to have a time bound measure. The targets are specified in periods of months.

TABLE 5.11

Target Dates in months for period 2001-2002

	TARGET DATE (MONTHS) 2000-2001					
	0	0-3	4-6	7-9	10-12	12+
L&E-Generic	0	2	0	0	0	0
L-Engineering	0	0	3	0	1	0
L-Agric	0	2	0	1	3	0
L-Conservation	0	0	1	2	1	0
L-Animal Care	0	0	0	1	2	4
BSI-Generic	0	1	0	0	4	4
HCSS-Generic	0	0	0	0	6	0
B-Health,Child,Soc.Sci.	1	2	1	0	0	0
AHSS-CrossSchool	0	0	0	0	2	0
B-Comp,Creat.Studies	0	4	1	2	8	1
B-Vehicle Engineering	0	1	0	0	2	1
B-Bus&Mgt	0	0	0	0	5	7
B-Food&Hosp	0	1	1	1	2	6
G-Greenkeeping	0	5	0	2	2	0
G-Sport	0	4	0	3	0	2
G-Hort.	0	0	4	2	1	0
Elm-Golf-Dev.	0	0	1	1	9	0
Stud.Dev	0	1	3	7	1	3
Community	1	0	1	1	4	0
ClientServ(General)	0	4	3	1	1	0
ClientServ(Supp&Guid)	0	14	2	1	1	0
CS-CustomerServArea	0	3	1	0	1	0
CS-LearningRes	0	10	0	1	0	3
CS-ElmwoodVocTrain	1	0	2	0	0	5
InformationServ	3	8	2	3	3	2
Gov,CorpPlanning&Finance	0	0	1	2	3	3
StaffDev	0	0	1	0	4	4
Personnel	0	0	3	4	0	2
Marketing	0	0	0	0	6	3
TOTALS	6	62	31	35	72	50
AVERAGE	0.2	2.1	1.1	1.2	2.5	1.7

TABLE 5.12

Target Dates in months for period 2001-2002

	TARGET DATE (MONTHS) 2001-2					
	0	0-3	4-6	7-9	10-12	12+
L-Engineering	1	3	1	2	2	0
L-Agric&Equine	0	6	2	0	6	0
L-Conservation	0	1	1	2	6	0
L-Animal Care	0	0	1	0	12	0
B-Health,Child,Soc.Sci.	0	3	1	0	19	0
B-Comp,Creat.Studies	0	11	0	0	6	1
B-Access&Commun.	0	3	0	0	5	1
B-Bus&Mgt	0	10	5	0	2	0
B-Food&Hosp	0	5	1	3	2	8
G-Golf	0	11	5	1	7	1
G-Sport	0	14	3	3	0	2
G-Hort.	0	0	1	0	6	2
Elm-Golf-Dev.	0	2	6	0	13	0
Stud.Dev	0	7	2	3	1	1
Community	0	5	1	1	13	0
ClientServ(General)	0	7	1	1	1	3
ClientServ(Supp&Guid)	1	8	2	1	3	0
CS-CustomerServArea	1	6	0	1	1	0
CS-LearningRes	0	10	3	2	5	0
InformationServ	3	7	6	3	1	0
Gov&CorpPlanning	2	2	2	0	4	1
Finance	0	2	5	3	7	0
StaffDev	0	2	3	1	9	0
Personnel	0	1	8	1	1	0
Marketing	0	0	1	0	5	0
Proj&FundDev	2	0	2	2	7	6
TOTALS	10	126	63	30	144	26
AVERAGE	0.38	4.85	2.42	1.15	5.54	1.00

The pattern which is evident from the tables shows that although there was a greater number of objectives in the period 2001-2002 the majority of objectives were planned to be achieved within 12 months. The following charts 7 and 8 show the differences between both periods.

CHART 7

Average of responses for Table 5.11

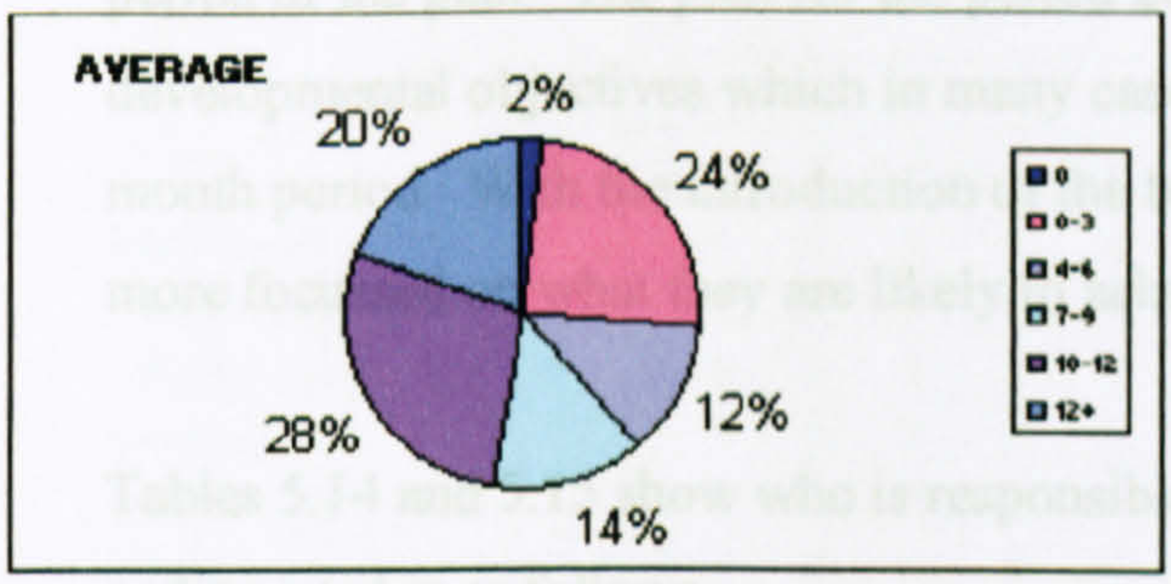


CHART 8

Average of responses for Table 5.12

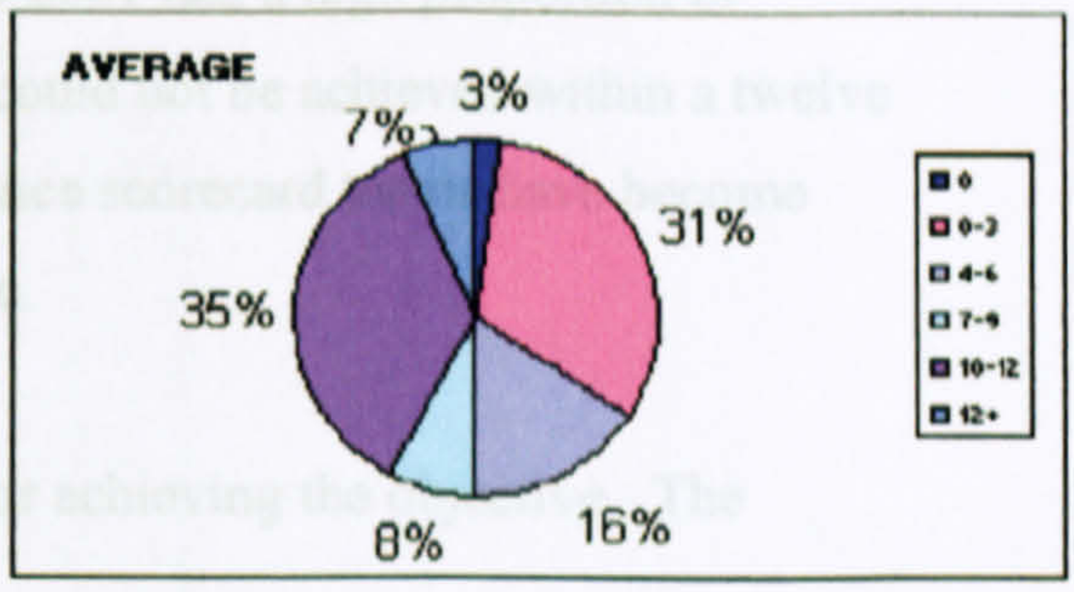


Table 5.13 shows that the most significant change is the 13% drop in objectives being set which extend beyond the 12 month period. It can be expected that some objectives could be longer term objectives, however this drop is significant. This is shown in the following analysis.

TABLE 5.13

Comparison of Objective Target Dates 00/01 – 01/02

TARGET DATE	0	0.3	4.6	7.9	10.12	12+	TOTALS
Year 00/01	6	62	31	35	72	50	256
%	(2)	(24)	(12)	(14)	(28)	(20)	(100)
Year 01/02	10	126	63	30	144	26	399
%	(3)	(31)	(16)	(8)	(35)	(7)	(100)

$n = 655$ $\quad chi^2 = 36.15$

$d.f = 5$

$p < 0.01$

We see that the difference is highly significant.

It is significant that there is such a large change in the 12+ range of the tables. The reason for this is that teams now set objectives which can be achieved within the period of the plan. The plan for the period 2000-2001 had a high proportion of developmental objectives which in many cases could not be achieved within a twelve month period. With the introduction of the balance scorecard teams have become more focussed on what they are likely to achieve.

Tables 5.14 and 5.15 show who is responsible for achieving the objective. The coding used is as follows.

Code		Responsibility
NS	=	Not Specified
L	=	Lecturer
T	=	Team
TL	=	Team Leader
HOS	=	Head of School
AP	=	Assistant Principal
PR	=	Principal
OTH	=	Other individual not listed above e.g. member of support staff

The findings from these tables are significant and directly confirm one of the important findings of the study.

TABLE 5.14

Identification of who is responsible for achieving objective 2000-2001

	RESPONSIBILITY 2000-2001							
	NS	L	T	TL	HOS	AP	PR	OTH
L&E-Generic	0	0	0	1	2	1	1	0
L-Engineering	0	0	1	4	2	0	0	0
L-Agric	0	0	1	6	2	0	0	0
L-Conservation	0	0	3	3	0	0	0	1
L-Animal Care	0	0	0	7	1	1	0	0
BSI-Generic	0	9	0	9	9	0	0	0
HCSS-Generic	0	0	0	3	6	0	0	0
B-Health,Child,Soc.Sci.	0	0	0	4	0	0	0	0
AHSS-CrossSchool	0	0	0	2	0	0	0	0
B-Comp,Creat.Studies	0	0	1	16	0	0	0	2
B-Vehicle Engineering	0	4	0	3	0	0	0	0
B-Bus&Mgt	3	0	5	7	1	0	0	4
B-Food&Hosp	3	7	7	5	0	0	0	0
G-Greenkeeping	0	0	2	7	3	0	0	4
G-Sport	0	0	4	9	4	0	0	0
G-Hort.	0	0	2	7	2	0	0	2
Elm-Golf-Dev.	0	0	1	1	10	1	1	2
Stud.Dev	0	5	4	9	2	0	0	1
Community	0	0	1	6	7	0	0	1
ClientServ(General)	0	0	0	3	9	1	0	0
ClientServ(Supp&Guid)	0	0	0	4	13	0	0	10
CS-CustomerServArea	0	0	0	4	1	2	0	3
CS-LearningRes	0	0	0	2	14	4	0	9
CS-ElmwoodVocTrain	0	0	0	0	6	0	0	5
InformationServ	0	0	0	0	21	0	0	0
Gov,CorpPlanning&Finance	0	0	0	0	7	0	1	3
StaffDev	0	0	0	0	1	7	0	6
Personnel	0	0	0	0	8	0	0	2
Marketing	0	0	0	2	9	0	1	6
TOTALS	6	25	32	124	140	17	4	61
AVERAGE	0.21	0.86	1.10	4.28	4.83	0.59	0.14	2.10

TABLE 5.15

Identification of who is responsible for achieving objective 2001-2002

	RESPONSIBILITY 2001-2							
	NS	L	T	TL	HOS	AP	PR	OTH
L-Engineering	0	0	3	9	3	0	0	1
L-Agric&Equine	0	0	2	14	3	0	0	7
L-Conservation	0	0	4	9	2	0	0	1
L-Animal Care	0	0	0	13	1	0	0	0
B-Health,Child,Soc.Sci.	0	8	4	21	1	0	0	6
B-Comp,Creat.Studies	0	0	6	15	1	0	0	0
B-Access&Commun.	0	3	0	6	0	0	0	0
B-Bus&Mgt	0	1	2	14	2	0	0	3
B-Food&Hosp	0	8	4	15	5	0	0	0
G-Golf	1	4	5	12	15	0	1	9
G-Sport	0	3	4	8	5	0	0	6
G-Hort.	0	0	2	6	1	0	0	3
Elm-Golf-Dev.	0	1	15	8	5	0	0	0
Stud.Dev	0	0	4	5	7	0	0	4
Community	0	0	0	0	20	1	0	9
ClientServ(General)	0	0	0	0	13	0	0	4
ClientServ(Supp&Guid)	1	0	0	2	14	0	0	12
CS-CustomerServArea	0	0	8	9	1	0	0	3
CS-LearningRes	0	0	3	20	6	0	0	3
InformationServ	0	6	2	16	0	0	0	0
Gov&CorpPlanning	0	0	0	0	2	0	3	9
Finance	0	7	2	9	1	0	0	4
StaffDev	0	8	3	3	0	8	0	0
Personnel	0	2	0	11	0	0	0	0
Marketing	0	1	3	1	6	0	0	4
Proj&FundDev	0	0	10	2	13	2	0	2
TOTALS	2	52	86	228	127	11	4	90
AVERAGE	0.08	2.00	3.31	8.77	4.88	0.42	0.15	3.46

In comparing both tables it is important to note that the responsibility for achieving an objective can be a shared responsibility. This is the reason why there is a greater number of entries on both of these tables. The tables allow teams to be compared to each other and to the average for each column. The following charts 9 and 10 show how responsibility has changed from period 2000-2001 to 2001-2002.

CHART 9

Average of responses for Table 5.14

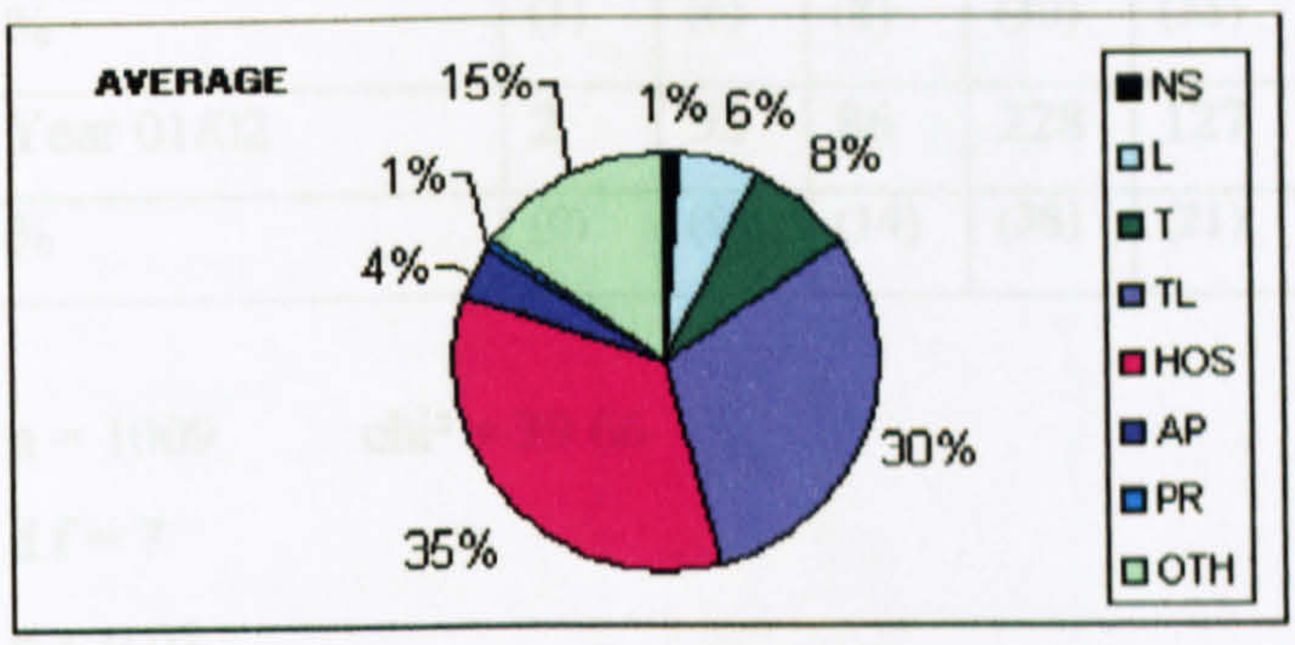
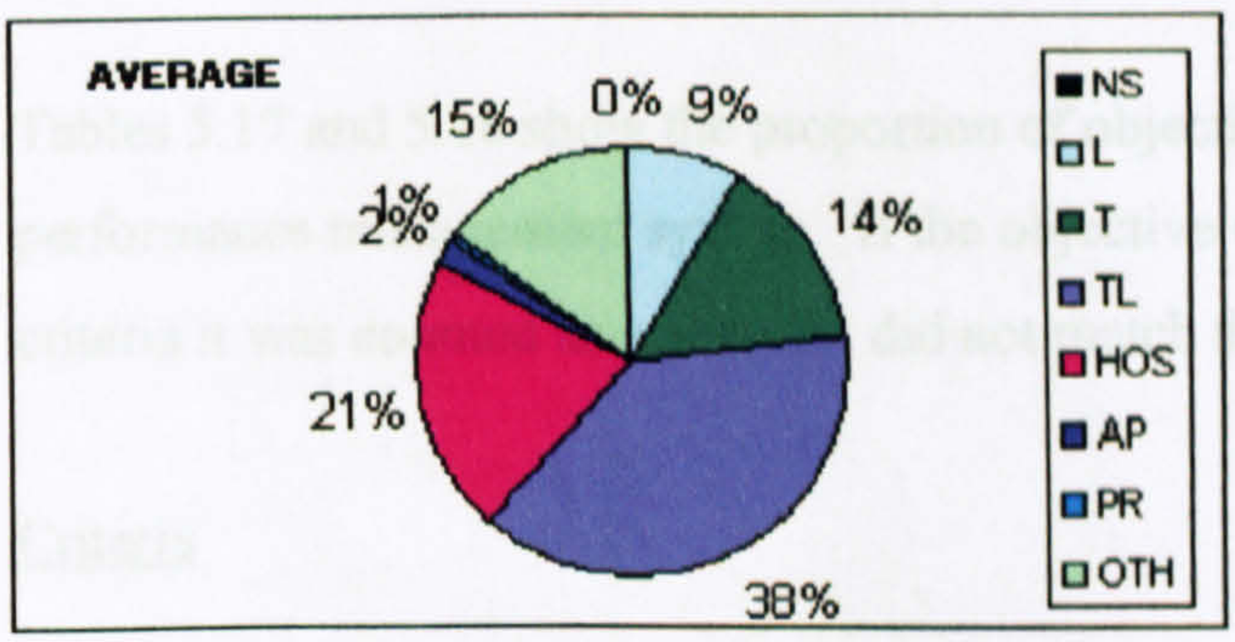


CHART 10

Average of responses for Table 5.15



The findings support the principle of performance management where teamwork is crucial to its success. Chart 10 shows that the responsibility for achieving objectives has increased for lecturers, the team and team leaders. The responsibility of the Head of School has dropped from 36% to 21% which also supports the fact that in a performance management system responsibility is devolved downwards to individuals and teams. This is one of the most important findings obtained from the analysis of the operational plans. The total responsibility for the team leader, team and lecturer has increased from 44% of objectives to 61% of objectives. When a chi-squared test is applied to the figures the difference is significant.

TABLE 5.16
Comparison of Responsibility Levels 00/01 - 01/02

RESPONSIBILITY	NS	L	T	TL	HOS	AP	PR	OTH	TOTALS
Year 00/01	6	25	32	124	140	17	4	61	409
%	(1)	(6)	(8)	(30)	(35)	(4)	(1)	(15)	(100)
Year 01/02	2	52	86	228	127	11	4	90	600
%	(0)	(9)	(14)	(38)	(21)	(2)	(1)	(15)	(100)

$n = 1009$ $\quad chi^2 = 39.66$

$d.f = 7$

$p < 0.01$

Highly significant

From the figures above in Table 5.16 the significant change is in the team and the Head of School columns which are statistically different. The HOS does not have the same responsibility for achieving objectives which have been devolved to teams.

Tables 5.17 and 5.18 show the proportion of objectives which could be measured in a performance management system. If the objective complied with the following criteria it was counted as a yes, if it did not match the criteria it was counted as a no.

Criteria

S	=	Specific	-	clear, unambiguous, understandable.
M	=	Measurable	-	quantity, quality, time, money.
A	=	Agreed	-	between individuals and their managers or team leaders.
R	=	Relative	-	within the control and capability of the individual.
T	=	Timebound	-	to be completed within an agreed timescale (Armstrong 2000).

TABLE 5.17

Number of objectives which met PM criteria for period 2000-2001 2002

	PM 2000-2001	
	YES	NO
L&E-Generic	0	2
L-Engineering	3	1
L-Agric	2	4
L-Conservation	0	4
L-Animal Care	3	4
BSI-Generic	2	7
HCSS-Generic	5	1
B-Health,Child,Soc.Sci.	4	0
AHSS-CrossSchool	2	0
B-Comp,Creat.Studies	12	4
B-Vehicle Engineering	1	2
B-Bus&Mgt	5	7
B-Food&Hosp	5	6
G-Greenkeeping	9	0
G-Sport	5	4
G-Hort.	6	1
Elm-Golf-Dev.	8	3
Stud.Dev	7	8
Community	6	1
ClientServ(General)	5	4
ClientServ(Supp&Guid)	7	11
CS-CustomerServArea	1	4
CS-LearningRes	1	13
CS-ElmwoodVocTrain	2	6
InformationServ	11	10
Gov,CorpPlanning&Finance	3	6
StaffDev	7	2
Personnel	8	1
Marketing	2	7
TOTALS	132	123
AVERAGE	4.55	4.24

TABLE 5.18

Number of objectives which met PM criteria for period 2001-

	PM 2001-2	
	YES	NO
L-Engineering	9	0
L-Agric&Equine	10	3
L-Conservation	10	0
L-Animal Care	13	0
B-Health,Child,Soc.Sci.	21	2
B-Comp,Creat.Studies	18	0
B-Access&Commun.	9	0
B-Bus&Mgt	16	1
B-Food&Hosp	17	2
G-Golf	25	0
G-Sport	20	2
G-Hort.	6	3
Elm-Golf-Dev.	20	1
Stud.Dev	14	0
Community	20	0
ClientServ(General)	13	0
ClientServ(Supp&Guid)	15	0
CS-CustomerServArea	9	0
CS-LearningRes	17	3
InformationServ	20	0
Gov&CorpPlanning	10	1
Finance	17	0
StaffDev	15	0
Personnel	10	1
Marketing	6	0
Proj&FundDev	13	6
TOTALS	373	25
AVERAGE	14.35	0.96

The difference between Table 5.17 and 5.18 is significant and can clearly be seen from the following charts 11 and 12.

CHART 11

Average of responses for Table 5.17

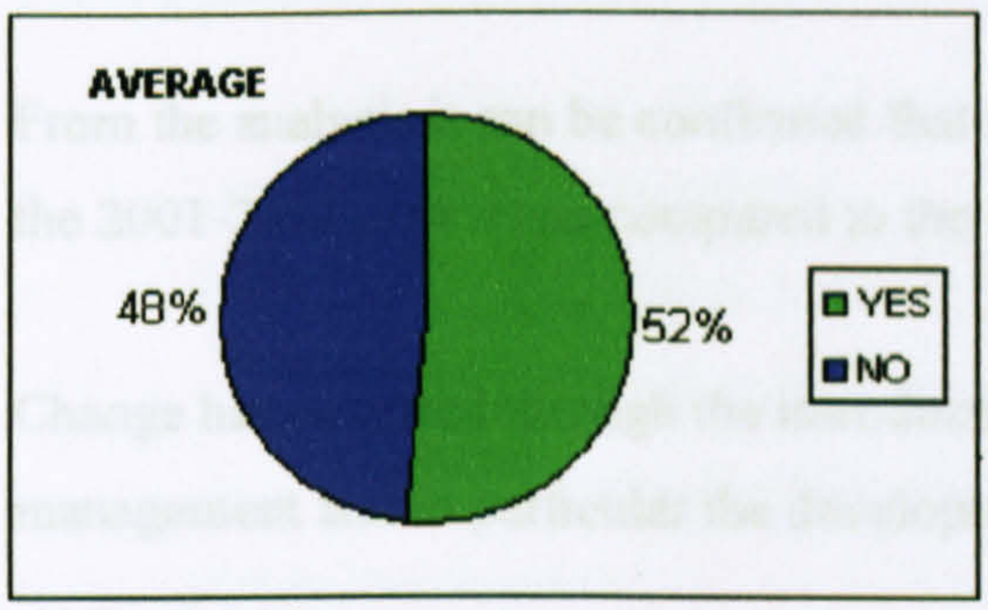


CHART 12

Average of responses for Table 5.18

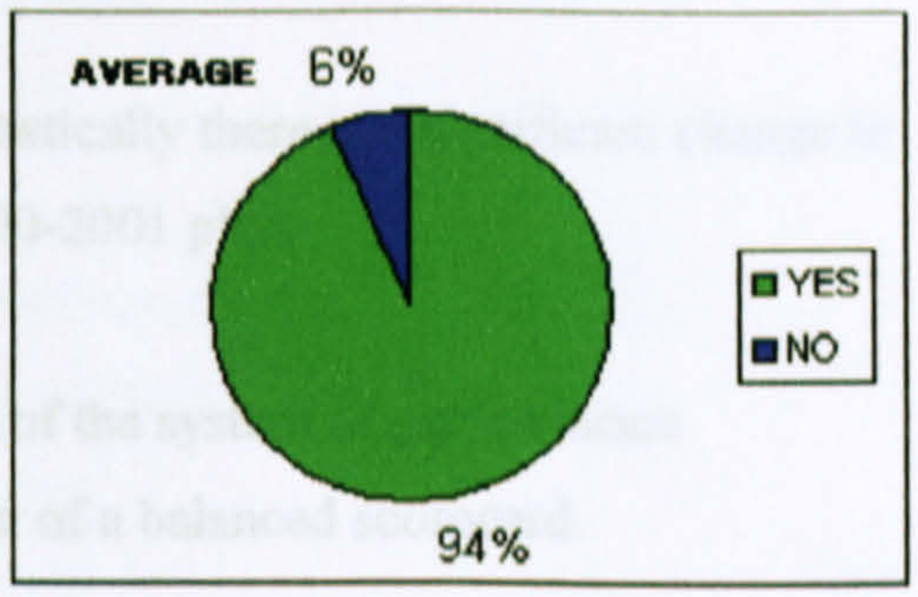


TABLE 5.19

Table 5.19

Comparison of Objectives Meeting SMART Criteria 00/01 – 01/02

PERFORMANCE MEASURE	YES	NO	TOTALS
YEAR 00/01	132	123	255
%	(52)	(48)	(100)
YEAR 01/02	373	25	398
%	(94)	(6)	(100)

n = 653 $chi^2 = 156.07$

d.f = 1

$p < 0.01$

Highly significant

This analysis is another significant indicator that the system of performance management has brought about change. The objectives written for the 2001-2002 plan have been written to comply with PM criteria.

5.5 Summary of analysis of college development plan for period academic year 2000-2001 and the college operational plan for 2001-2002

From the analysis it can be confirmed that statistically there is a significant change in the 2001-2002 plan when compared to the 2000-2001 plan.

Change has occurred through the introduction of the system of performance management and in particular the development of a balanced scorecard.

The analysis also allowed each team to objectively analyse their own team's objectives against other teams and against the average number of responses for a specific area of the plan. The development of the balanced scorecard led to the introduction of an additional aim for staffing which was missing from earlier plans.

A more thorough approach to objective setting was found in the preparation of the 2001-2002 plan. There were significantly less objectives extending beyond 12 months in the same plan.

It was significant that responsibility for the achievement of objectives moved to the team and that there was less responsibility on the Head of School to achieve objectives. The number of objectives to be achieved by the lecturers and the team leader also increased from one year to the next however the statistical significance was less. These changes indicate a move from top down to a bottom up approach to the achievement of objectives.

Finally the significant increase in the number of objectives which met the SMART criteria was another important indicator to the change which was found in setting objectives. Objectives which can be measured lead to teams accepting their responsibility to achieve the objective.

5.6 Interview with Her Majesty's Inspector, post school division

The main issues discussed during the interview were:

- General appraisal questions.
- Performance appraisal and review questions specifically looking at,
  - the assessment of the quality of learning and teaching;
  - the review of staff performance.
- Future development.

Q1. The original guidelines on appraisal in FE were issued in February 1991. Can you tell me the extent to which they are used as a baseline for determining the acceptability of a college appraisal system?

Ans. They are not now used as a baseline. They were originally produced under the political administration of that time. Since then new administrations have re-interpreted the guidelines. The word 'appraisal' has disappeared and has been replaced by 'review'. There has been a gradual softening of appraisal with a warmer approach. Appraisal as a term is linked to a top down management approach. Over time there has been a gradual weakening of this managerial concept in colleges and a move to a more collaborative process and to results and career review. The move to career review has been through the quality of learning and teaching initiative and is intended to be evolutionary rather than prescriptive.

Q2. What are the elements that HMI look for in a college appraisal system?

Ans. The elements which provide the framework for appraisal are those indicated in section B5 and B7 of the Quality Framework.

Q3. **There are a variety of statements used by colleges to identify their appraisal system e.g. Career Review and Development, Staff Development Review, Appraisal and Development Review, Annual Review.**

This list is not exhaustive. What is your opinion on why there are a multitude of terms used?

Ans. The move away from appraisal has led to this development.

Q4. **Have you found that what the appraisal is called determines the degree of hardness or softness of the appraisal process?**

Ans. There is a tendency for the title to indicate the degree of hardness or softness of the process. There are some which are at the hard end and also some at the soft end. The majority, however, are somewhere in the middle where there is a pragmatic approach.

Q5. **What changes have you found being introduced by colleges to college appraisal systems?**

Ans. Progress is being made to appraisal systems in various ways, however progress is slow. Too many colleges do not have adequate appraisal arrangements. Progress in the North and East of the country has been better than that in the West.

Q6. **Why do you think there has been better progress in some colleges than in others?**

Ans. The main reason for progress being made is very much to do with management attitude and leadership style. It is related closely to the style of the Principal and on how the college is managed. The quality of communications and the quality relationships help to develop a culture and ethos in a college. Where progress is not being made it may be due to a control style of management where there is a management fear of having less control.

Q7. What are the extremes of confidentiality and openness that you expect to see in an appraisal system?

Ans. Appraisal is generally still a confidential process. Staff development activities which are an outcome of appraisal are more open. There are many examples in colleges where there is a collaborative attitude to appraisal.

Q8. Can you advise me of any evidence which you may be aware of that appraisal systems are effective in improving colleges?

Ans. There are many examples which can point to the effectiveness of appraisal. Staff Development programmes which are effective. Effective teamwork. Where are the strengths of a college. It is possible to detect the ethos and culture in a college. The person in charge of the process will assist in determining how successful the appraisal system is. Evidence of how effective teams are in a college is an indicator that the process is working.

<u>Performance Areas</u>

Q9. How do you expect classroom observation on the quality of learning and teaching to be carried out?

Ans. It should be carried out using the HMI framework as a guide.

Q10. Are there any restrictions on who should carry out the classroom observation?

Ans. Yes – it should be carried out by good practitioners who have credibility. Assessors from teacher training colleges, HMI associate assessors and HMI themselves. The important point is that it has to have credibility.

Q11. What is your opinion on peer review as a means of assessing the quality of learning and teaching?

Ans. Where there is evidence of course teams working and where they fully appreciate the underlying principle of assessing QLT it is acceptable. The model should be based on sharing good practice. The approach has to be rigorous and criteria has to be set. Self evaluation of QLT by the lecturer is also to be recommended as a means of assessment of QLT. Peer assessment is acceptable if it makes the quality of learning and teaching better and it promotes sharing good practice across the college.

Q12. In a performance management system where individuals and teams have agreed their objectives, theory says that you do not therefore require an annual appraisal as performance measurement is part of an on-going process.

What are your views on this scenario?

Ans. Innovative methods which are not the norm are acceptable providing the college can prove that it works and can show that it is an acceptable alternative. An analysis of the evidence should be carried out with a high degree of rigour.

Q13. What performance areas of staff would you expect to be reviewed and at what frequency?

Ans. There are various sources of evidence which could be used for this. The successful completion of particular projects such as writing open learning material or running an ESF programme. The completion of a role or task. An upgrade of skills. The model of doing this should be proactive and the question which should be asked is what is going to be different and what is going to change. The process should look for results.

Q14. Can you advise me of any evidence which you may be aware of that indicates that reviewing staff performance improves individual team or department performance?

Ans. Evidence is seen at course team level. Support teams adapt more readily to this concept but the evidence will come through the team's performance.

<u>Future Development</u>

Q15. Where do you think colleges should be going in terms of appraisal and performance reviewing for the future?

Ans. Professional lecturing will be the norm. CPD uptake will be higher and will also be more formally recorded and certificated. Sharing good practice will be a major theme and will be sector wide as well as through teams in colleges. There will be a change in the way lecturers will approach their professional development. Where development has been slow there will be a move to get it to move up a gear. There will be holistic and joined up developments in colleges.

Q16. Are there any other issues which I should be considering?

Ans. The observation of QLT is it firewalled?

Disciplinary issues as an outcome of review process.

5.7 Summary of Interview with Her Majesty's Inspector, post school division

The results of the interview provided evidence of the strategic direction college appraisal systems would have to conform to. The term appraisal was no longer thought to be the correct for the developing and changing culture of collaboration. HMI wished to see outdated appraisal systems being replaced by systems of review. The review should be linked to the quality of learning and teaching which should be a strategic aim of a college. This was stressed by the HMI who indicated that the framework for any review system should be based on the published 'Quality Framework'.

A review process reflects the change in the management culture of colleges. Appraisal was linked to a top down control style of management. Open management where there is a no blame bottom up management style, which encourages teamwork, is found to be more effective.

The team ethos is important and where it can be seen to be working effectively there is less need for rigorous control. Performance of individuals should be measured against specific tasks and an upgrade of skills.

There is evidence at course team level that reviewing performance improves team performance. A significant finding of the interview was the importance of CPD as part of the review process. There is a move to improve the sharing of good practice sector wide as well as through teams in colleges.

The outcome of the interview confirmed that the system of performance management using the balanced scorecard was an appropriate model. It featured all if not most of the ideas the inspectorate wanted to see. Where colleges have not been able to implement appraisal systems the PM system developed for this study could be an alternative. The very fact that it is based on teamwork, it encourages CPD and is open, may encourage take up in colleges where a hard line has been taken against appraisal.

One of the most significant outcomes of the HMI interview led to a review of the performance and development review forms. Given the HMIs' answer to question 12 it was decided that operational planning and the performance and development review could be more closely linked. The operational planning process was revised to ensure that objectives were clearly described. Changes were made to the operational planning forms to encourage staff to take responsibility for specific objectives. Given that the operational plan would clearly identify staff it was decided that the performance and development review forms could be changed and simplified.

A review team was set up to review the forms and the procedure of performance and development review. The questions on the forms were simplified and linked directly to the operational planning process. The performance and development review period was changed to so that it commenced immediately following the operational planning period. The major advantage of doing this was that staff would have two sets of objectives commencing in August. As most objectives are set to be achieved during the academic year this made more sense. How effective this will be, will not be known until the next operational planning period in May 2003. A complete set of the revised forms can be found in appendix 10. These revised forms can be compared with the original forms used for this study which are in appendix 2. When a comparison is made the improvements are apparent.

5.8 Analysis of the ETMS evaluation questionnaire

The questionnaire had four sections, each section, with the exception of section 1 which asked for staff information, was related to one of the aspects of the performance management system.

From an initial analysis of the data the results looked encouraging with a high number of positive responses. It was decided to analyse the data in a more rigorous manner and to apply statistical techniques to the analysis. The results of this provided a much greater insight into what the data was providing and allowed certain conclusions to be determined.

The questionnaire was issued to support staff, lecturers, line managers of support staff and team leaders. The initial analysis of the data determined the total responses of each group analysed in respect of the Likert Scale. It was not possible to apply a chi-square test to this data as many of the values were less than 5. It was possible to re-calculate the data and to make comparisons between different sorts of groups and then to apply a chi-squared test. The two different groups which were tested to determine if there was any significance to their responses were:

- Academic Staff (lecturers and team leaders) responses in relation to (support staff and line managers).
- Staff responses (support staff and lecturers) in relation to management staff (team leaders and line managers).

The following tables indicate the findings of the questionnaire and the results of the statistical analysis.

Table 5.20

Section 1 Forms Returned

Lecturer Full Time / Part Time (LFT/PT)	34
Member of Support Staff (MSS)	21
Team Leader Teaching (TLT)	10
Line Manager Support Staff (LMSS)	11
TOTAL	**76**
Number of Forms Issued	156
% Return Rate	49%

The return rate indicated in table 5.20 was slightly disappointing given the efforts to ensure a high return of the questionnaire. The reason for this may have been that the return date was a few days before all staff went off on Christmas holiday. Questionnaire returns can be improved by repeated requests, however it was decided that the sample was reasonable and that the analysis should proceed.

Section 2 of the questionnaire was designed to determine how successful the team work part of the performance management system was. The operational plan was the area where teams would be measured against the achievement of their objectives. There were 10 statements relating to the operational plan, teamwork and objectives. From the responses it was intended to gather evidence on the success of the performance management system (ETMS). Each table of figures was analysed statistically. The percentage totals for each table gave an indication of the overall responses for each level of the Likert Scale. A further two tests were carried out on each table and a chi-squared test applied to each.

The first test was to analyse the responses and make comparisons between staff and management. The second test was to make comparisons between academic and support staff.

For each analysis a 2x2 contingency table was used. Table 5.21 shows the analysis of the first question.

Table 5.21

Section 2 Question No 1

1 – I understand the general aims and direction of the college

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	4 (12)	25	4	0	0	1	34
Member of Support Staff	1 (5)	16	4	0	0	0	21
Team Leader Teaching	3 (30)	7	0	0	0	0	10
Line Manager Support Staff	5 (45)	6	0	0	0	0	11
Totals	**13**	**54**	**8**	**0**	**0**	**1**	**76**
% Totals	**(17)**	**(71)**	**(11)**	**(0)**	**(0)**	**(1)**	

The data in table 5.21 indicated that 88% of the sample were in the strongly agree and agree categories. This was encouraging and it could be deduced that staff understood this through being involved in operational planning.

When a chi-squared test was applied to staff (lecturers and support staff) and management (team leader and line manager) it was found that there was no difference. However, when a closer comparison of the data is made the following was found. 45% of line managers and 30% of team leaders strongly agree with the question. Only 12% of lecturers and 5% of support staff strongly agree. This highlights that whilst overall there is a high proportion of staff in the agree and strongly agree category; staff below line manager and team leader level were not of the same opinion. An explanation for this may be that; the training and involvement of the line managers and team leaders gave them a greater understanding and

knowledge of the aims and direction of the college. This understanding and knowledge may not have been passed down successfully to the majority of the staff. It is clear from this evidence that all staff have to be made more aware of the general aims and direction of the college not just management level staff.

Each question was analysed in exactly the same manner. No significant difference was found in the chi-squared analysis of any of the 2x2 tables. The full set of tables can be found in appendix 8.

Table 5.22

Section 2 Question No 2

2 – I was involved in developing team objectives with team members and team leader

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	8 (24)	18	4	2	2	0	34
Member of Support Staff	4 (19)	10	2	4	1	0	21
Team Leader Teaching	7 (70)	2	0	0	0	1	10
Line Manager Support Staff	6 (55)	4	1	0	0	0	11
Totals	**25**	**34**	**7**	**6**	**3**	**1**	**76**
% Totals	**(33)**	**(45)**	**(9)**	**(8)**	**(4)**	**(1)**	

Table 5.22 shows that 78% agreed with the statement, some were undecided and there was 12% who disagreed with the statement. The chi-square test found no difference between the academic and support staff and between staff and management. There is a concern that 12% disagree. This may be pointing to a situation where, at the lower levels of the college, staff were not as involved as it was planned to be. Given this concern, action may have to be taken to get team leaders to involve their staff in developing their team objectives. It should be pointed out that it

may be likely that it was a few teams who were not fully involved which led to this result. It was evident that a strategy to ensure all team members were involved was required. The strongly agree figures were compared as a percentage of the totals. The managers (team leaders and line managers) had a higher percentage of strong agreement than at the staff level. This difference may again be as a result of the greater responsibility and involvement of managers in the process of operational planning.

Table 5.23

Section 2 Question No 3

3 – I have access to my team's operational plan

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	10 (29)	20	2	1	1	0	34
Member of Support Staff	7 (33)	12	2	0	0	0	21
Team Leader Teaching	8 (80)	2	0	0	0	0	10
Line Manager Support Staff	9 (82)	1	1	0	0	0	11
Totals	**34**	**35**	**5**	**1**	**1**	**0**	**76**
% Totals	**(45)**	**(46)**	**(7)**	**(1)**	**(1)**	**(0)**	

Table 5.23 shows that a significantly high proportion, 90% of the sample indicated that they had access to their team's operational plan. This is a good indicator that teams are being involved in operational planning. There is no significant difference between staff and management and academic and support when a chi-squared test is applied. When the strongly agree figures are expressed as a percentage of the totals; both levels of staff are virtually consistent. The staff level indicates that approximately 30% of staff strongly agree they have access to their team's operational plan. At the management level approximately 80% are in strong agreement. Given the differences between staff and management; in this question; and the preceding two, a trend appears to be developing. The figures are clearly

indicating that at the staff level the involvement is not as high as at the management level.

For this particular question the response rate for those who strongly agree is comparable to that found in other questions. The reason for staff not having a higher proportion of strongly agree responses may be to do with computer access. The operational plan of the college is accessible on the college intranet. All team leaders and line managers have a computer, staff have to share. This may be the reason for the difference. I would expect this figure to rise as more staff are given their own computer.

Table 5.24

Section 2 Question No 4

4 – I know the operational plan targets my team have to achieve in the academic year

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	9 (26)	18	3	3	1	0	34
Member of Support Staff	2 (10)	17	1	1	0	0	21
Team Leader Teaching	8 (80)	2	0	0	0	0	10
Line Manager Support Staff	9 (82)	2	0	0	0	0	11
Totals	**28**	**39**	**4**	**4**	**1**	**0**	**76**
% Totals	**(37)**	**(52)**	**(5)**	**(5)**	**(1)**	**(0)**	

The figures indicated in table 5.24 show that the response to the statement was high. When the strongly agree and agree scales are combined there is a total of 89% in agreement. In chapter four I argued; that the reason for choosing to use a lickert scale; was to obtain a more sensitive analysis. Analysing the proportion of responses who strongly agree is providing a degree of sensitivity not available from the chi-

squared test. The percentages of the totals again confirm there is a difference between management and staff. The management level is consistent showing 80% strong agreement with the statement. Lecturing staff show 26% strong agreement. Support staff show only 10% strong agreement. This sensitivity analysis is again confirming a trend that at a management level operational planning is well understood. It is indicating at the staff level and in particular for support staff that it is not so well developed or understood.

Table 5.25

Section 2 Question No 5

5 – We have regular team meetings to discuss the progress of our team objectives

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	7 (21)	14	5	5	3	0	34
Member of Support Staff	5 (23)	11	1	4	0	0	21
Team Leader Teaching	5 (50)	4	0	1	0	0	10
Line Manager Support Staff	5 (45)	3	3	0	0	0	11
Totals	**22**	**32**	**9**	**10**	**3**	**0**	**76**
% Totals	**(29)**	**(42)**	**(12)**	**(13)**	**(4)**	**(0)**	

This statement and figures in table 5.25 was used to determine precisely what it indicates. An essential requirement of performance management is regular team meetings. The figures indicate that 71% strongly agree / agree, 17% disagree, 12% are undecided. From the table it can be seen that the higher proportion of difference comes from the lecturing staff. The result of this statement is leading to the question are there certain academic team leaders not involving their teams as they should be? Team meetings may not be taking place or be formal enough as to be recognised. The action which needs to be considered for this is that we need to know how, and

when, teams meet and, if necessary, implement standard agendas and timescales. When the percentages of the strongly agree responses are compared there is not such a large difference, as found in the previous statements.

In chapter one I indicated that if performance management could be applied to a further education college teamwork would be enhanced. This could be a better result if the actions indicated in the previous paragraph are carried out.

Table 5.26

Section 2 Question No 6

6 – I understand why there are five focus areas in the operational plan – Customers, Finance, Staff, Systems and Developments

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	6 (18)	15	7	5	1	0	34
Member of Support Staff	3 (14)	14	4	0	0	0	21
Team Leader Teaching	4 (40)	6	0	0	0	0	10
Line Manager Support Staff	2 (18)	3	6	0	0	0	11
Totals	**15**	**38**	**17**	**5**	**1**	**0**	**76**
% Totals	**(20)**	**(50)**	**(22)**	**(7)**	**(1)**	**(0)**	

This statement in figure 5.26 was included to determine the extent to which staff had grasped the concept of the balanced scorecard. It is evident that 70% of staff were aware of the balanced scorecard, however 22% were undecided which is the second highest undecided figure. There was no significant difference in respect of the different groups, however from the table it can be seen that there were no team leaders who were undecided. The conclusion is that information may not be getting to staff to allow them to be knowledgeable about the balance scorecard.

Table 5.27

Section 2 Question No 7

7 – There is a commitment from all of the members of my team to achieve our operational plan objectives

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	7 (21)	20	3	1	2	1	34
Member of Support Staff	3 (14)	14	3	1	0	0	21
Team Leader Teaching	4 (40)	5	1	0	0	0	10
Line Manager Support Staff	5 (45)	4	2	0	0	0	11
Totals	**19**	**43**	**9**	**2**	**2**	**1**	**76**
% Totals	**(25)**	**(56)**	**(12)**	**(3)**	**(3)**	**(1)**	

The overall findings from this table 5.27 indicate that the majority of respondents agree with the statement. The table shows that lecturing staff may be feeling that all of the members of the team are not fully committed, however the numbers are small. It reinforces some of the previous findings that methods of ensuring the effectiveness of team working has to be explored. The trend which has shown through the sensitivity of the lickert scale continues, but there is not such a large difference.

Table 5.28

Section 2 Question No 8

8 – An effective operational plan comes from constructive team meetings before the plan is written

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	**Totals**
Lecturers (Full Time & Part Time)	11 (32)	18	3	1	0	1	**34**
Member of Support Staff	4 (19)	15	2	0	0	0	**21**
Team Leader Teaching	5 (50)	4	1	0	0	0	**10**
Line Manager Support Staff	5 (45)	5	1	0	0	0	**11**
Totals	**25**	**42**	**7**	**1**	**0**	**1**	**76**
% Totals	**(33)**	**(55)**	**(10)**	**(1)**	**(0)**	**(1)**	

This statement indicated in table 5.28, was included to determine if the process of operational planning was involving staff in the discussion of objectives. It would be normal for team meetings to discuss various statistical indicators relating to the performance of a team, quality and other matters. The result that 33% strongly agree and 55% agree suggests that this is an accepted practice. A chi-squared test found that there was general agreement of this between staff and management and also academic and support.

Table 5.29

Section 2 Question No 9

9 – I know what individual objectives I have to achieve and which contribute to my team's overall objectives

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	**Totals**
Lecturers (Full Time & Part Time)	10 (29)	20	1	2	0	1	**34**
Member of Support Staff	6 (29)	11	3	1	0	0	**21**
Team Leader Teaching	5 (50)	5	0	0	0	0	**10**
Line Manager Support Staff	7 (63)	3	1	0	0	0	**11**
Totals	**28**	**39**	**5**	**3**	**0**	**1**	**76**
% Totals	**(37)**	**(51)**	**(7)**	**(4)**	**(0)**	**(1)**	

The performance and development review process involves setting objectives for all members of staff and this is essential in a performance management system. The findings in table 5.29, indicate that this generally happens. 37% strongly agree, 51% agree. When a chi-squared test is applied to both tables, it was found there was no difference. It is known that objectives are set, they can be easily found by looking at the performance and development review forms which are returned to the personnel section. This statement may have confused a small number of respondents. Individuals may know which of their objectives relate to themselves individually but may not know the objectives which relate to the team's overall objectives. Action to rectify this would have to be taken before the next performance and development review period. It is likely that the solution would be to clearly identify which objectives are individual and which are team related.

Table 5.30

Section 2 Question No 10

10 – I feel that the team system in the college is effective in helping the college achieve its objectives

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	4 (12)	13	13	1	1	2	34
Member of Support Staff	3 (14)	9	8	1	0	0	21
Team Leader Teaching	1 (1)	7	2	0	0	0	10
Line Manager Support Staff	2 (18)	5	4	0	0	0	11
Totals	**10**	**34**	**27**	**2**	**1**	**2**	**76**
% Totals	**(13)**	**(45)**	**(35)**	**(3)**	**(1)**	**(3)**	

The results of this statement table 5.30, show that there is a degree of doubt or uncertainty with about a third of the staff who completed the questionnaire. There was strong agreement by 13% and 45% agreed with the statement. The team system of setting objectives was in its first year and it could be expected that this was a completely new experience for some teams. Team leaders themselves may not have been so engaging with their team. Some team leaders were relatively new to their post and had little experience although they did receive training. The number of staff who are undecided should diminish as performance review becomes more embedded. When the strongly agree percentages are compared there is not a large difference between the groups. However when the responses to the strongly agree and the agree are combined a difference is found. It can be seen that 50% of lecturers are in agreement whereas almost all of the team leaders agree. This result again reinforces the trend that has been found in the earlier statements. The management level demonstrates that they are generally knowledgeable about operational planning. The lecturers and support staff do not have this higher level of knowledge.

The following five statement from section 3 refer to the Performance and Development Review (PDR) introduced as part of the Elmwood Team Management System (ETMS). This was developed from the former college appraisal system. The appraisal system was well established and staff were familiar with it. The term appraisal was not liked by HMIE and the term **review** was being used to change the focus from a top down approach to a more upward staff involved approach. The statements were each designed to determine one aspect of the PDR process.

Table 5.31

Section 3 Question No 11

11 – My PDR was constructive in reviewing my objectives from my previous appraisal

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	**Totals**
Lecturers (Full Time & Part Time)	7 (21)	16	3	2	2	4	**34**
Member of Support Staff	4 (19)	12	1	1	0	3	**21**
Team Leader Teaching	2 (20)	7	1	0	0	0	**10**
Line Manager Support Staff	2 (18)	8	1	0	0	0	**11**
Totals	**15**	**43**	**6**	**3**	**2**	**7**	**76**
% Totals	**(20)**	**(57)**	**(7)**	**(4)**	**(3)**	**(9)**	

The indications from this statement table 5.31 confirmed that the majority of staff 77% had a constructive review of the objectives which had been set in the previous appraisal period.

Table 5.32

Section 3 Question No 12

12 – The PDR allows me to discuss my own objectives constructively with my Team Leader

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	**Totals**
Lecturers (Full Time & Part Time)	9 (26)	21	2	0	0	2	**34**
Member of Support Staff	5 (23)	13	0	1	0	2	**21**
Team Leader Teaching	3 (30)	7	0	0	0	0	**10**
Line Manager Support Staff	4 (36)	6	1	0	0	0	**11**
Totals	**21**	**47**	**3**	**1**	**0**	**4**	**76**
% Totals	**(28)**	**(62)**	**(4)**	**(1)**	**(0)**	**(5)**	

The findings from this statement table 5.32, provide strong evidence of a constructive objective setting discussion between staff and their team leader. A performance management system relies heavily on objectives being agreed. There was no difference between groups.

Table 5.33

Section 3 Question No 13

13 – I feel that the PDR allows me to discuss my skills and potential capabilities with my team leader

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	12 (35)	18	2	0	0	2	34
Member of Support Staff	3 (14)	15	0	1	0	2	21
Team Leader Teaching	4 (40)	6	0	0	0	0	10
Line Manager Support Staff	3 (27)	7	1	0	0	0	11
Totals	**22**	**46**	**3**	**1**	**0**	**4**	**76**
% Totals	**(29)**	**(61)**	**(4)**	**(1)**	**(0)**	**(5)**	

This was another statement which confirmed that the revised PDR was contributing significantly to the PM system. 90% of staff were in agreement that they did discuss their skills and potential capabilities with their team leader. There was no difference between groups.

Table 5.34

Section 3 Question No 14

14 – The PDR process helps me to resolve personal problems with my team leader

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	7 (21)	17	3	1	3	3	34
Member of Support Staff	0 (0)	12	4	2	1	2	21
Team Leader Teaching	1 (10)	6	3	0	0	0	10
Line Manager Support Staff	3 (27)	4	3	0	1	0	11
Totals	**11**	**39**	**13**	**3**	**5**	**5**	**76**
% Totals	**(14)**	**(51)**	**(17)**	**(4)**	**(7)**	**(7)**	

There was a spread of results for this statement table 5.34, which indicated that there was not such a strong consensus. Each level of the Likert scale had a response and although not a high figure 5 respondents did not answer. There was no difference between groups. There was some evidence from comments written on the returned questionnaires that staff may have been reluctant to discuss personal problems with their team leader. The statement could have been better worded as the intention was to determine if problems relating to the individual and their work had to be resolved. 65% of staff however did indicate that they discussed personal problems with their team leader.

Table 5.35

Section 3 Question No 15

15 – The PDR interview with my team leader is constructive in identifying objectives I have to achieve and which contribute to my team's operational plan

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	10 (29)	18	3	0	1	2	34
Member of Support Staff	2 (10)	14	2	1	0	2	21
Team Leader Teaching	3 (30)	6	1	0	0	0	10
Line Manager Support Staff	2 (18)	7	2	0	0	0	11
Totals	17	45	8	1	1	4	76
% Totals	(23)	(59)	(11)	(1)	(1)	(5)	

The findings of this statement table 5.35 conclude section 3 with an indication that the performance and development review system was effective. Almost a quarter of staff of the sample strongly agreed with the statement and 59% were in agreement. This was a significant finding that supported the system of performance management and that the performance and development review was an essential part of the process.

When the percentage figures of the strongly agree section are compared the trend found in the analysis of earlier statements can be seen. Lecturers and team leaders have a higher percentage of agreement than support staff and line managers.

Section 4, statements 16-20 were related to the outcomes of the performance and development review process.

Table 5.36

Section 4 Question No 16

16 – CPD and training opportunities are essential outcomes of the PDR process

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	16 (47)	13	2	2	0	1	34
Member of Support Staff	4 (20)	13	3	0	0	1	21
Team Leader Teaching	6 (60)	3	1	0	0	0	10
Line Manager Support Staff	1 (10)	7	1	2	0	0	11
Totals	**27**	**36**	**7**	**4**	**0**	**2**	**76**
% Totals	**(36)**	**(47)**	**(9)**	**(5)**	**(0)**	**(3)**	

This statement table 5.36 found that 36% of staff were in strong agreement and 47% agreed giving a total of 83%. When the chi-squared test was applied to the groups there was no difference. Approximately 10% of the respondents were undecided on this statement. There was no strong disagreement. Support staff however, whose jobs range from cleaners to library staff, do not have such a well defined career progression route as academic staff. Academic staff have a more formal qualifications structure and CPD is essential in keeping up to date. When this result was known during the study, steps were taken to include all support staff in the college 'Return to Industry Programme'. The percentages shown in the strongly agree response confirms the difference between academic and support staff.

Table 5.37

Section 4 Question No 17

17 – I know what I want to achieve through CPD each year

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	9 (26)	21	1	3	0	0	34
Member of Support Staff	3 (14)	10	7	0	0	1	21
Team Leader Teaching	3 (30)	5	2	0	0	0	10
Line Manager Support Staff	2 (18)	8	1	0	0	0	11
Totals	17	44	11	3	0	1	76
% Totals	(22)	(59)	(14)	(4)	(0)	(1)	

The results from table 5.37 show that there is general agreement that the majority of respondents, 81%, agree that they know what training and development they require. This is helpful during a performance and development review as it assists the line manager to come to agreement with the member of staff. This positive outcome is a good motivator. There was no difference between groups. A significant number 15% were undecided which would require some action to reduce this figure. Action to ensure that support staff do take the opportunity of discussing their continuing professional development, during their performance and development review, would have to be taken.

Table 5.38

Section 4 Question No 18

18 – CPD is an essential part of the ETMS system

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	10 (30)	19	3	1	0	1	34
Member of Support Staff	4 (19)	11	5	0	0	1	21
Team Leader Teaching	3 (30)	5	2	0	0	0	10
Line Manager Support Staff	2 (18)	5	4	0	0	0	11
Totals	**19**	**40**	**14**	**1**	**0**	**2**	**76**
% Totals	**(25)**	**(53)**	**(18)**	**(1)**	**(0)**	**(3)**	

The purpose of this statement table 5.38 was to determine if staff were fully aware of the link between their continuing professional development and the Elmwood Team Management System. More than three quarters of the respondents were aware although 18% were undecided. There was no difference between the groups. The findings are likely to represent the state of staff awareness given that this is the first year of operation of the ETMS.

Table 5.39

Section 4 Question No 19

19 – CPD helps to improve my job satisfaction

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	13 (38)	15	4	1	0	1	34
Member of Support Staff	4 (19)	10	5	1	0	1	21
Team Leader Teaching	3 (30)	7	0	0	0	0	10
Line Manager Support Staff	2 (18)	6	3	0	0	0	11
Totals	**22**	**38**	**12**	**2**	**0**	**2**	**76**
% Totals	**(29)**	**(50)**	**(15)**	**(3)**	**(0)**	**(3)**	

The results from this statement table 5.39 point to a mixed response from respondents. Job satisfaction is important in all work situations, not only in a performance management system. The indication that 29% strongly agree with the statement and 50% agree is encouraging. To have 16% undecided requires some further investigation.

Table 5.40

Section 4 Question No 20

20 – CPD should be mandatory with an agreed number of days training and development allocation each year

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree	No answer	Totals
Lecturers (Full Time & Part Time)	14 (41)	12	6	2	0	0	34
Member of Support Staff	2 (10)	10	4	4	0	1	21
Team Leader Teaching	3 (30)	4	2	1	0	0	10
Line Manager Support Staff	2 (18)	4	2	2	1	0	11
Totals	**21**	**30**	**14**	**9**	**1**	**1**	**76**
% Totals	**(28)**	**(40)**	**(18)**	**(12)**	**(1)**	**(1)**	

This final statement was not directly anything to do with the PDR system. The statement was included to gauge respondents opinions on what is common place in other professions. It is encouraging to find that 65% are in the agree areas. For both groups there was no difference. There is, however, 32% who are undecided or disagree. 41% of lecturers strongly agree which reinforces the discussion in chapter 2. This is not a surprising finding, academic staff have traditionally expected to receive a certain amount of training every year. Some staff are resistant to training being compulsory, however as the quality of learning and teaching continues to be a major inspection area for colleges, statutory CPD may be the only way of convincing some staff.

5.9 Summary of the analysis of the ETMS questionnaire

The return rate indicated in section 1 of 49% was considered significant enough to base judgements on the findings. The findings of the questionnaire provided evidence that there was a strength of agreement to the majority of the statements. Overall the responses to the strongly agree totalled 27%; agree 53%; undecided 13%,

disagree 4%; strongly disagree 1% and those who did not answer some questions 3%.

Section 2 found significant agreement to all statements. When the results were analysed in greater detail it was found that in the earlier responses to the questionnaire statements a trend was apparent. There was a definite division of disagreement for the first five statement and some of the later statements. The trend was; when the percentages of the strongly agree were compared to the total responses there was a difference between the groups. There was generally a higher percentage of strongly agree at the management level than at the staff level. It was found, however, that some of the evidence indicated that at the lower levels staff in some teams were not being fully included. Anecdotal evidence points to one or two team leaders not involving their teams fully. Many staff could see other teams being fully engaged, however there were two incidents during the study where staff complained that they were not having regular team meetings.

Section 3 findings were all very positive and there was no significant disagreement between the groups.

Section 4 found positive responses to all of the statements with the majority of responses in the strongly agree and agree sections. There was evidence of a higher number of respondents indicating undecided for statement 17, 18, 19 and 20.

5.10 Information from conference on performance management in higher education

During the period of this study the opportunity arose to attend a conference on performance management. The keynote speech was delivered by Michael Armstrong who has written two specific books on performance management and is often quoted as a specialist on this subject.

He is a management consultant and graduate of the London School of Economics. His experience in this field spans twenty five years.

During a talk with Armstrong about this study, he confirmed that as far as he was aware, this was the first study of performance management being applied in a College of Further Education, in particular using the balanced scorecard.

The opportunity of discussing the study and the methodology with Armstrong was a triangulation technique which enhanced credibility (Robson, 1997).

The theme that Armstrong (2000) adopted was that reward and development processes can contribute to culture change by focussing on performance and competence requirements. A number of the points, which Armstrong made, confirmed that the approach taken for this study was in fact the correct one.

It was stressed that PM is a strategic and integrated approach to developing the capabilities of individuals and teams in order to increase organisational effectiveness. PM was confirmed to be about the following:

- Personal development.
- Continuous improvement of staff, students and the college.
- Dialogue, support and agreement.
- Teams as well as individuals.
- Managing performance throughout the year.
- Managing the organisation.

Armstrong also confirmed that PM integrates corporate, team and individual goals. This was confirmation that the integration of PM with the operational plan and the performance and development review was the right approach. Armstrong's work on detailed aspects of PM has been reviewed as part of the literature research for this study (chapter 2.3).

Armstrong concluded that changing culture is not a matter of pressing a few reward and development levers. It depends on adopting a strategic approach with the

emphasis on integration. It depends on ensuring that the aims of every initiative are thought through and are congruent with the culture and values of the organisation. Finally it depends on effective involvement, communication and training.

It was reassuring to be able to confirm that the system of PM developed for the college met the criteria postulated by Armstrong.

5.11 Focus group with Academic Heads of School, Directors of Finance and Marketing and Student Services and Support Staff Senior Managers

The main issues discussed during the focus group session were:

- To determine what the group of managers thought about the whole process of performance management.

- To determine the group's opinion on the effectiveness of the balance scorecard in achieving the college operational plan and the effectiveness of the performance and development review.

- To consider how operational planning can be improved for the next session 2002-2003.

- To develop strategies for the next stage of development.

The results of the staff questionnaire regarding the PM system were first of all discussed. This may have been a mistake to do this as it tended to direct their thoughts on the methodology of the questionnaire rather than the results.

However, after the group discussion comments were more forthcoming.

Thoughts about the Performance Management System

"This is the first year of the new process and some team leaders are new to it so there may need to be some changes."

"It is a great process and many staff got a lot out of it."

"This is the first time for many staff to have a higher level of involvement. It may be better not to change the process too much until the outcome is clear."

The consensus was that staff generally accepted the PM system. Staff were more involved as a result and there was evidence that staff were benefiting from it. Given that this was the first year of the system it should be allowed to bed in further and settle down. Staff who had not been involved in operational planning would now become involved and training would have to be provided.

Effectiveness of PM in achieving operational plan and effectiveness of PDR

The discussion tended to centre on self evaluation before it moved forward to individual and team effectiveness in achieving the operational plan.

"Self evaluation and operational planning days are successful ... Operational planning and self evaluation not always used in appraisals... Difficult to relate to operational plan."

"Should have sector reviews ... we need to sharpen up areas mid way through year."

"Some teams were missed ... all teams should be part of the operational plan."

The group indicated that operational planning was effective especially as specific in-service days had been set aside to permit teams to do this. Some staff had a

difficulty in relating their performance and development review with the operational plan. It was a proposal that there should be mid-point reviews of a team's progress towards achieving their operational plan. This review would take the form of a presentation to the senior management team. Some teams were not included in the first year of the PM system, as they traditionally have not had to produce an operational plan. It was clear from the discussion that all teams should have an operational plan.

The group then considered how effective the PDR process was. This had a mixed reaction and it was difficult to determine themes coming from the group. It was clear that they still thought the PDR process was based on the old style of appraisal. Some in fact could not get the terms correct and kept on using the term appraisal throughout the session. They were in fact confirming that they did not like the old style of appraisal for the reasons given in chapter 2 of this study.

"Why should we performance review each year...?"

"Why is it within set time periods...?"

"People can see self evaluation and planning days as useful but appraisal is a repeat performance every year."

"You have to plan for each appraisal. It would be useful if everyone had their own mini development plan."

"There should be a maximum number of people being appraised by an individual."

Classroom observation then came into the discussion. This is an important part of a lecturer's assessment of the quality of learning and teaching. The group were brought back on track and a serious discussion took place regarding the timing of the PDR process. The group agreed that PDR would be better linked to the operational plan if it was moved forward in the year. It was agreed that the PDR process should

be moved to the June to September period. The operational plan has to be completed by May, therefore the individual objectives set in the operational plan, can be included as objectives in a member of staff's PDR. Other comments from the group regarding this aspect were:

"Team leaders should be appraised first and then they can appraise their teams."

"This is the best way to do it. It will then cascade down."

These comments reflect the fact that there was still some old fashioned thinking at the highest level in the college. With a PM system the importance of the PDR lies with the team leader. This concept is difficult to grasp for some senior managers.

The group then debated how classroom observation should be carried out. This topic was worthy of discussion but it was not the intention to get too involved in this.

The time limit had been reached and it was decided to finish the meeting. Sufficient information had been gathered that would inform future planning of the PM system.

5.12 Reflective diary

From the outset of this study a diary was kept of meetings, events and developments relating to this study. Copies of Powerpoint presentations were kept, as it is possible that they can be used in future training events. The minutes of many meetings from Board of Management Level to team meetings chronicled the progress of the development. The number of meetings held and the outcomes are in excess of what can be included even as appendices to this study.

In addition to a paper diary a significant amount of information was kept in electronic format. This proved to be invaluable during the writing up of the study. Information could be quickly obtained. This approach where there is a structured diary approach, with direct observation and cross checks, against formal timetabled

activity, gives confidence about the reliability and validity of the diary method (Bourque and Bach, 1982).

CHAPTER SIX

6 Conclusions

A performance management system can be effective in a further education college. Evidence suggests that operational planning is more focussed through objectives, which are measurable. Performance management is effective in promoting teamwork and in ensuring that the mission statement and the strategic aims of a college are achieved. A system of performance management is effective in setting team and individual objectives. Individuals can see how their own objectives contribute to operational and strategic objectives.

Evidence from the findings indicate that the first aim, which was to investigate, implement and evaluate a system of performance management using the balanced scorecard has been successfully achieved. This has been recognised by the Board of Management of the college, the Principal and the Senior Management Team. The college is committed to the on-going and further development of performance management. The college operational plan, which is based on a balanced scorecard approach, will continue to be developed.

Methods used to measure the outcomes of the operational plan have themselves contributed to this study. These methods have enabled base-line data to be established. The information obtained from these measures has contributed to keeping staff fully informed of their progress towards achieving their operational objectives. It is the intention to fully establish these procedures as part of the monitoring process for operational planning. The action research, which I have carried out, has led to an improvement in the operational planning procedure. The development of the system of performance management provided a significant opportunity in the college to establish and develop teamwork. It was found that for some managers this was a new experience; they were used to working as individuals. The development teams spent many meetings reflecting on how the performance management system was being introduced and developed. This reflection provided

the opportunity to improve their understanding of the system and their knowledge of performance management.

Teamwork was not only an important part of performance management but it was also an important mechanism in the development of the system of performance management. Teams adopted ownership of their operational plans and, through a process of reflection, monitored their own success towards achieving their objectives. Evidence in support of this was obtained from team meeting minutes. Changes were necessary throughout the development of the system of performance management. The evidence to support change came from team feedback and emerged throughout the study. Where a problem arose a group would form to discuss the problem and provide solutions for implementation. The group would disband following implementation of the solutions. An example of this was when a team was formed to review the Performance and Development Review Forms. The team reviewed the forms to fit with the concept of performance management; these forms were then implemented.

It can be concluded from the study that a balanced scorecard approach can be successfully used to produce the operational plan for a further education college. It was found that in devising the scorecard, areas are determined which are considered to be essential for the success of a college. It was found at an early stage of this study that there was no strategic college aim, which related to staff, training and CPD. This was a significant omission as the value of staff is critical to the success of the college. A new strategic aim was therefore written and incorporated in both the strategic and operational plans of the college. Performance is managed at individual and team levels through objectives, which are measurable. Training of staff is essential to ensure that objectives are written to meet the SMART criteria. Performance management systems, which use ratings, are not to be recommended. Where a performance management system uses 360° reviews, the information gained can provide additional evidence in support of individual performance evaluation.

The statistical analysis of the operational plans has provided evidence that the change, which has taken place, has been highly significant. When the statistics for each year are presented in graphical format, it is clear that a balanced approach to operational planning has been obtained for year 01/02. This provides evidence that using a balanced scorecard approach ensures that objectives are not all directed to one area but are balanced across the predetermined focus areas of the scorecard.

It might be argued that the significant increase in the number of objectives would mean that many would not be achieved. This has not been the case. Teams were asked to review their progress towards achieving their objectives after six months. At this stage 53% of objectives had been achieved 32% partially achieved and 15% not achieved. The comparable figures for the whole of year 00/01 were 51% achieved, 28% partially achieved and 21% not achieved. This evidence shows that after six months the achievement of objectives had been greater than the whole of year 00/01. This may have been due to the fact that the performance management system has ensured that objectives which are written in measurable terms are themselves achievable. Teams were also asked to review progress at nine months and to forecast ahead to the end of the twelve-month period. This was necessary in order to prepare for the next operational planning cycle. The results indicated that 64% of objectives would be achieved, 21% partially achieved and 15% not achieved by the end of year 01/02. The full analysis is available in Appendix 8. The literature indicates that teamwork motivates teams to achieve the objectives, which they themselves have set. Evidence on the success of achieving objectives would suggest that this has happened.

The evaluation of the strategic aims as indicated in tables 5.4, 5.5, 5.6 and 5.7, does not contribute a significant amount of information to the conclusions. This is because of the difficulty in linking the strategic aims of the operational plan with the focus areas of the balanced scorecard. What it does raise is the question of the relationship of the aims to the scorecard focus areas. The aims were established a number of years ago and have not changed significantly apart from the introduction of the staffing aim. To have five scorecard areas and nine aims in the strategic plan

does not make sense, and it is difficult to correlate the two. Each of the nine aims is also broken down into specific aims which themselves lead to confusion for teams. Given this level of confusion it would seem to be sensible to rationalise the aims and to bring them into line with the five focus areas of the scorecard. This will be carried out for the period 2003-2004 when the strategic plan is given a major review.

Teams were more objective in setting the deadlines for achieving objectives with a 13% drop in objectives extending beyond twelve months. This indicates a more focussed approach to achieving objectives within the period of the plan.

One of the significant outcomes of the analysis of the operational plans has been in the area of responsibility, tables 5.14, 5.15 and 5.16. The evidence indicates that responsibility for achieving the objectives has increased significantly for lecturers, teams and team leaders. There has been a significant fall for the Head of School. It is important to note that whilst the responsibility of achieving the operational objectives has dropped significantly for the Head of School, the accountability still rests with the Head of School. This finding supports one of the features of performance management where the team is more responsible for achieving the operational objectives. This therefore supports the view that the performance management system is working.

The second aim of the study was to change the college operational planning methodology and to structure it on the balanced scorecard approach. Evidence of the success of this can be found in the analysis of the objectives of the 01/02 operational plan tables 5.17, 5.18 and 5.19. It was found that 95% of the objectives could be measured against the SMART criteria. This is significantly higher than the 52% achieved in the 00/01 plan. This reinforces the fact that the system of performance management using the balanced scorecard approach has been successfully introduced. Teams in the college have set measurable objectives, which they can focus on. If the objectives had not been measurable it would not have been possible to have a performance management system.

Additional evidence of the success of teamwork comes from the results of the staff questionnaire. The first ten questions were all related to the operational plan and teamwork. There was significant agreement to all of the statements. There was, however, evidence that the staff group (lecturers and support staff) did not agree to some of the statements as strongly as the management group (line managers and team leaders). This is a concern and action will have to be taken in preparation of the 2002-2003 operational plan to rectify this. The reason why there is this difference may be that the team leaders and line managers did not ensure that their staff were as fully aware of the concept of the balanced scorecard as they should have been. Line managers and team leaders received training in the principles of performance management and the balanced scorecard approach to operational planning. This is the most likely reason why they had superior knowledge of the system.

Evidence from the staff questionnaire indicates that the third aim relating to the introduction of a performance and development review process has been successful. The majority of the responses are in the strongly agree and agree group. The objectives of the operational plan are translated into individual performance objectives, which are subsequently reviewed as part of the operational plan review and the annual performance and development review. One recommendation made by the participants of the focus group was in relation to the timing of the performance and development review. It was agreed that this should follow immediately after the evaluation and planning period for the operational plan, enabling staff to link their personal objectives with the operational objectives. The result of this was to bring forward the performance and development review; from a commencement date of October; to commencing in May. This was immediately following the preparation of the new operational plan. The advantages in doing this was that there was now a direct link to the operational plan for staff.

Specific objectives were identified for individual members of staff during the performance and development review and also training and CPD objectives. Evidence from the staff questionnaire confirms that staff see training and CPD as an

essential outcome of the performance and development review process. There was evidence, however, that 18% of staff were undecided if CPD helped to improve job satisfaction. A significant amount 67% considered that CPD should be mandatory.

The following statements summarise the outcomes of this study of introducing a system of performance management using the balanced scorecard as an approach.

- A system of performance management provides individual members of staff with a mechanism for linking their own performance to the operational and strategic objectives of the college.

- The system of performance management requires the full commitment of the Board of Management, the Principal and Senior Managers if it is to be successful.

- The empowerment of team leaders and teams is essential if teams are to be committed to achieving the objectives, which they have set.

- It can be concluded that the balanced scorecard approach is effective in producing a balanced operational plan.

- Performance management provides a mechanism of linking strategic and operational planning with the continuing professional development of staff.

- Evidence suggests that staff are more directly involved in operational planning as a result of using a performance management system.

- Objectives have to be written to meet SMART criteria in order to determine when they have been achieved.

- The system of performance management cannot be imposed from above. The system has to develop through the active involvement of all members of staff.

- A system of performance management cannot be introduced quickly in a college. Development of an effective system will take a minimum of two and possibly more years. Staff will take time to become used to being actively involved in the objective setting process. Change will be gradual and progressive. There will be the opportunity for reflection at each review period.

- The methodology of statistically analysing operational plans has to be developed further in order to reduce the time, which it takes. The information is now providing teams with comparative data. Regular reviews enable them to assess their progress at predetermined periods.

- A mid-year reporting session where a team presents its progress to date will be introduced for academic year 02/03. This will involve a team making a presentation to its peers and senior managers.

- Team meetings have to have the progress of their operational plan as a standard agenda item. Team meeting minutes should be available on the college intranet. It was considered that this would give the performance management system transparency.

- As the performance management system continues to develop, training sessions to advise all staff of changes will have to be provided to ensure staff are fully informed.

- The nine strategic aims of the college will be reviewed to provide a more direct link with the five focus areas of the balanced scorecard. It is likely that this will involve reducing the nine aims to five strategic aims.

- Guidance on identifying and precisely stating the resource requirements of the operational plan will be provided. This will redefine the staffing codes to make them clearer.

- The performance and development review period will be moved to the May / June period. This will enable objectives, which are set for staff at the performance and development review to have a direct link to the operational plan.

- A team leaders forum will be set up to meet on a monthly basis. This is seen as an essential part of the team management system. It is part of the process of strengthening the empowerment of team leaders and their teams.

- The Balanced Scorecard model developed for this study has taken forward the work of Kaplan and Norton. It has been found to be successful and it could be replicated in another Further Education College. It can be concluded that the fourth aim of this study has been achieved

In conclusion this study has resulted in a major change taking place in a further education college. The change has been dynamic and an important challenge for the future will be to ensure that system develops and matures in a progressive manner. Performance management is a relatively new concept that this study has shown can be applied to an educational institution. The benefits of performance management described in chapter two are realised as the system itself develops. Crucial to the success of introducing a system of performance management is the co-operation of staff. Without their interest and response to the many changes in which they have been involved the performance management system may not have been as effective as it has turned out to be.

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Appendix 1

Performance Management Papers

Elmwood Staff and Team Development Group Meeting

Report to the Senior Management Team towards a System of Performance Management

An approach to implementing a Balanced Scorecard as part of a Performance Management System

Elmwood Team Management System Balanced Scorecard (Example)

Elmwood Staff &Team Development Group Meeting

Present Andrew. Morrison
Anne Hayes
Huw Parry
Brian Bayne
Jim Taylor
Ian Pearce
Roy Pettigrew

Date 19th January 2001

Purpose
This meeting started the process of applying recent development work on improving the effectiveness of teams and staff through using the Balanced Score Card Model and Performance Management techniques.

A title for this project and this team is needed. Balanced Scorecard and Performance Management do not adequately reflect the purpose of this project.

Investors In People
The College is fully committed to developing its staff in order to achieve the College's objectives. The College understands the impact of its investment in people on its performance and the College expects to improve its performance through investment in staff development.

Business Success
Businesses are more successful when there is a sensible balance of staff and resources invested in developing not only the financial aspects of the organisation but also customer relations, company systems, staff, and organisational development.

KappAhl Model
Using this model the above group decided to adopt the following Focus Areas in order to establish a balanced approach to the development and improvement of the College.

Focus Areas

1) **Customers**
2) **Finance**
3) **Staff**
4) **Systems**
5) **Development**

Finance Strategic Goals
Taking Finance as an example the following strategic goals were suggested:

Strategic Goals

a) Maximise SUMS
b) Maximise Net Cash Flows
c) Manage Net External Income
d) Manage and control costs.

At this very early stage in the development of this management technique, the above goal suggestions are just that. It is possible that these strategic goals will develop and change as the remainder of the parts in the balance come into clearer focus.

Finance Critical Success Factors
The following factors were suggested:

Critical Success Factors

a) Group Size
b) Budgetary Control
c) Maximise External Income
d) Contract Management
e) Zero Claw back Amounts

Some of these factors may fit more naturally under the Systems headings.

Finance Measures of Success
The following measures were suggested:

Measures of Success

a) Budget Variances
b) Gross Profit
c) Group Size
d) Room Utilisation and Occupancy Rates
e) SUMS
f) Part-time Teacher Ratios
g) Course Numbers

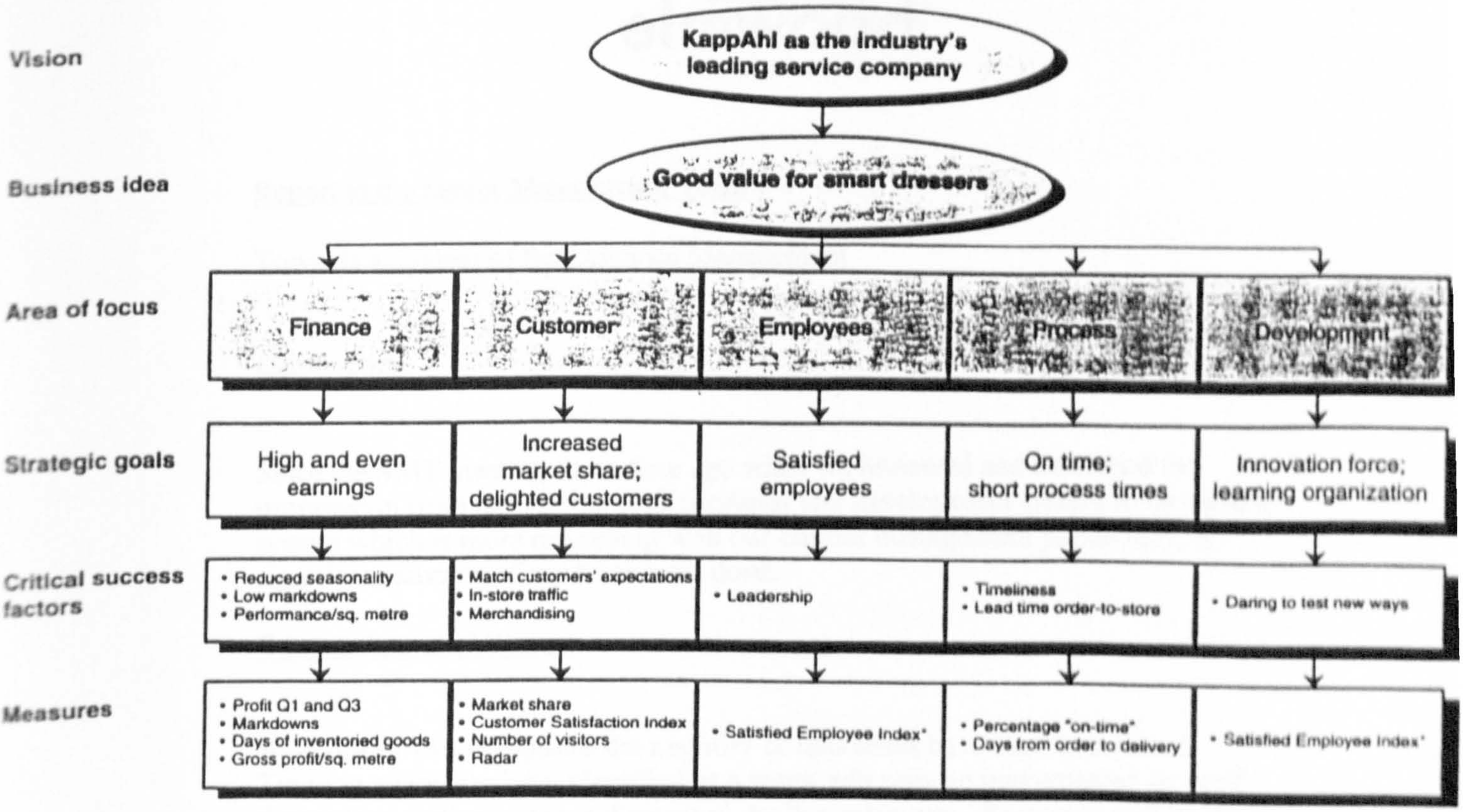
As noted above these suggestions are made at an early stage and will change as the remainder of the balance process is completed.

Focus Areas of Customers, Staff, Systems, and Development
In order to develop this 'balanced' process, Ian Pearce and Huw Parry agreed to develop the strategic goals, critical success factors, and their measures for the Focus Areas of Systems and Development.

Anne Hayes will develop the goals, success factors, and measures for Elmwood Staff.

Brian Bayne will develop the strategic goals, critical success factors, and their measures for Elmwood College's Customers.

Date of Next Meeting.
This was fixed for Wednesday 31st January at 10.30 am in the Boardroom.



An overview of KappAhl's overall balanced scorecard

elmwood COLLEGE

Report to the Senior Management Team

Towards a System of Performance Management

Introduction

Since the SMT meeting some time ago when we reviewed and discussed the progression from our current staff appraisal and development system to move to a system which is more in keeping with our current management philosophy, a significant amount of work has been done.

Current Appraisal System

With one or two exceptions the majority of appraisals have been completed. Training which has been identified as a result will now be implemented by staff themselves, with assistance if required, by line managers. Personnel will produce, from the individual training forms, an overall training plan for the college to enable strategic and operational plans to be produced. The staff development group is working on college-wide issues such as the return to industry programme, the college IT training programme and the needs of the next IIP audit.

The current appraisal system has to be modified to meet the requirements of a performance management system, however there will still be a form of appraisal where line managers and team leaders will review their staff. Lecturers will continue to undergo classroom assessment of their teaching performance. There will be the opportunity for peer review and assessment as teams exercise more control with their team leader in achieving the college vision and mission statement through the team approach to strategic and operational planning.

Teamwork Overview

Teamwork in an organisation is an essential feature of a successful organisation. Over the past few years the college structure has evolved from a control structure to an organisational structure where individuals and teams can control and plan their own performance areas. These performance areas can be agreement on individual or team objectives that support the Strategic and Operational Plans of the college.

Greater emphasis than ever before is now placed on good teamwork. The formation in the college of the client services team to deal with and promote our services to our customers, the impact of new technology which has led to the formation of the MIS team are examples of the development of teams to tackle innovations and operational requirements.

Teamworking objectives involve teams working together to create plans for the attainment of their agreed objectives. Plans will specify priorities, responsibilities, action timetables, arrangements for monitoring performance, feedback and team progress meetings.

Critical success factors are important for teams, where a team is closely involved in setting objectives (within clear parameters), monitoring their own performance against those objectives and taking action (without referral to a higher authority). The team is then in a true sense self managed.

Performance Measurement

A significant amount of time has been spent on looking at how other organisations have implemented performance management.

It is important to stress at this stage Performance Management is not going to be related to pay or any monetary reward scheme. The focus will be on teamwork where the reward will be the development of the strength of the team and the continuous professional development of staff.

Currently within the college we have many systems of measurement. The problem which is evident is that these systems are disparate and require to be brought together in order that they can be managed by teams. **There is not a need to re-invent the wheel.** What we have to do is examine our systems to reduce duplication, highlight any gaps, which are evident and confirm that our methodologies are appropriate to what we require the information to provide.

It is often said that if you can't measure it you can't manage it and what gets measured gets done. It is certain that you cannot improve performance until you know what the present performance is.

Public sector organisations such as Education, Health Services and Local Government have traditionally had to devise a range of measures, which informed their own decision making processes. The Accounts Commission for Scotland has recognised that this is a problem in terms of measuring performance to obtain best value.

They intend to address this issue by encouraging public sector organisations to ensure that they have in place an approach that is designed to ensure that adequate alignment between strategic direction, operational plans and performance measurements takes place.

The approach they are proposing is that public sector organisations should develop a "Balanced Scorecard". This is a construct, which was developed initially in the United States and is based on the following four perspectives each representing an important area of an organisation.

- Financial
- External Customer
- Internal Process
- Innovation and Learning

The theory is that by creating measures under each heading, no important area would be missed. The scorecard is a framework and it would be for us to decide what the specific measures would be, however it is likely that we already measure 80% of what would form a balanced scorecard. Attached are copies of balances scorecards used by a range of organisations (Appendix 1).

<u>Introducing the Balanced Scorecard</u>

We are moving towards the next strategic planning cycle and it would be beneficial if we used the Balanced Scorecard as a method of linking the Strategic Plan with the Operational Plan and the involvement of teams in relation to performance management. Development of a college scorecard requires a team effort and I would propose the following as the development team.

Andrew J Morrison (Chair)
Angus J Allan
Ian Pearce
Ian Winn
Anne Hayes
Roy Pettigrew
Richard Fisher
Brian Bayne

The team would meet on a regular basis over an estimated 3-month period to develop the framework of a college scorecard. Appendix 2 outlines a suggested 9-step action plan.

Following the production of the scorecard teams would be able to apply it to the development of their own Strategic and Operational Plans.

I would stress at this stage that this is not a short term burst of enthusiasm for the latest management theory, it is an attempt to continue with the change in culture of

the college away from rigorous control towards genuine team effort in a no blame culture which will improve what we are doing and improve our business. It is also important to stress that the focus is not on individuals but on sound business issues which are important for each team in the college and the position of the college in the FE Sector.

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COLLEGE

An Approach to Implementing a Balanced Scorecard as Part of a Performance Management System

Step	Description	Action	Timescale
1	Establish College Vision and Mission Statement		
2	Establish Perspectives e.g. Financial Clients Internal Processes Staff Development Human Resources		
3	Identify critical success factors for each perspective		
4	Determine critical measures		
5	Establish the top level scorecard		
6	Break-down of the scorecard and measures by identified operational units		
7	Formulate goals in each operational unit and present to Senior Management		
8	Develop action plan for each operational unit		
9	Implementation of the scorecard		

ETMS Elmwood Team Management System

The Elmwood Team Management System (ETMS) is based on the principles of performance management. Performance management is a generic term for a system of management, which has a major focus on teamwork in organisations.

It is important to stress at this stage Performance Management is not going to be related to pay or any monetary reward scheme. The focus will be on teamwork where the reward will be the development of the strength of the team and the continuous professional development of staff.

Over the last few years we have structured the teams in the college to enable them to have a direct focus on their own area and to give team leaders direct responsibility for the leadership and direction of their team.

A significant step in the process was achieved when the operational plan of the college was produced for this session by team leaders in conjunction with their team.

The structure of this year's operational plan was also changed to reflect the growing importance of ensuring that there was balance to our plan and that the focus was not all in one area, for example developments.

The development of the operational plan was based on the Balanced Scorecard approach. The Balanced Scorecard has been used in many organisations and it is the intention of the funding council that all colleges will develop their plans using this method.

The Elmwood Scorecard was developed by a working group over a period of many months and has essentially five main focus areas.

1)	Customers	(Our Students)
2)	Finance	(Budgets and Income)
3)	Staff	(CPD)
4)	Systems	(Internal / External)
5)	Developments	(New Ideas)

Attached to this introduction is the scorecard relating to your team and the operational plan.

The next step in this development is to change the current appraisal system to a more open system, which reflects the principles of teamwork and review. Performance review is a more up-to-date method of allowing team leaders to monitor and discuss the progress of their team and individuals within their team.

The structure of the process will be as follows.

Stage 1	Self Evaluation	April
Stage 2	Develop Operational Plan with Team	May
Stage 3	Present Operational Plan to SMT and submit to Board of Management for approval	June
Stage 4	On approval implement Operational Plan and CPD programmes	July
Stage 5	Carry out Performance Review with team to include: 1) Classroom assessment of all teaching staff 2) Performance review of team and individuals in relation to operational plan and individual CPD	September / October

We will, during the next few weeks once our students have started back, monitor and review the objectives with each team in order to ensure that there is a focus on their achievements.

ELMWOOD COLLEGE

Team Self Evaluation and Operational Planning Programme

Date	Topic	Attendance
Week commencing 26 March 2001	Team Leader / Heads of School Training / Planning Meetings • Self Evaluation • Operational Planning	A J Morrison, I Pearce, Heads of School, Team Leaders
26 March 2001 4 pm – 5 pm	School of Business and Service Industries	AJM, IP, DF, JT, TD, RB
27 March 2001 4 pm – 5 pm	School of Arts, Health and Social Sciences Community	AJM, IP, MF, AN, GG, KM, JR TB
28 March 2001 4 pm – 5 pm	School of Golf and Leisure Studies	AJM, IP, CB, HP, JD, MC, GP, PM
29 March 2001 4 pm – 5 pm	School of Land and Environment	AJM, IP, AT, DH, SMcD, NF
16 April 2001	Self Evaluation Exercise	Heads of School Team Leaders Teams
16 April to 7 May 2001	Team Leaders and Teams develop areas for inclusion in Operational Plan	Team Leaders Teams
7 May 2001	• Operational Plan for each team finalised • Presentation to SMT prepared	Heads of School Team Leaders Teams

23 May 2001 15 mins / Team commence 2.30 pm	Team Presentations Food Studies Business & Management Vehicle Engineering Computing & Creative Studies Access & Communication Care & Childcare Student Development	 Jim Taylor Don Ferguson Tommy Dodds Ann Newlands Graham Gordon Kath Murray Judith Robertson
30 May 2001 15 mins / Team commence 2.30 pm	Team Presentations Golf Horticulture Sport Agriculture Conservation General Engineering Animal Care	 Mike Clark John Davidson Gillian Pagan David Henderson Stuart MacDonald Nigel Ford Andy Todd

ALL MEETINGS WILL BE HELD IN THE COLLEGE BOARDROOM

Appendix 2

Performance and Development Review Forms

Performance Review

APPRAISEE

Pre-Review Form

Appraisee to complete this form and exchange it with their Team Leader / Line Manager at least one week before the performance review meeting

Appraiser: _____

Appraisee: _____

Date of Performance and Development Review Meeting: _____

2001

Section A – Operational Plan

1.A. Indicate below each heading the individual contribution to the team's objectives which were achieved, partially achieved or not achieved relating to the previous operational plan.

Objectives Achieved

Partially Achieved

Not Achieved

1.B. Indicate below reasons why any objectives have not been fully achieved or where contribution could have been enhanced or improved.

2. Indicate below your specific objectives which relate to the current operational plan and must be achieved during the plan period.

3. You may have acquired additional skills, knowledge and experience since your last appraisal. Indicate below what you have acquired and state how you consider it could be used.

4. Indicate below the support you would like your line manager to provide, to enable you to be effective and successful in your job.

Section B – Training and Continuing Professional Development

5. Indicate below your training and CPD requirements for the academic session 2001-2002 which you wish to discuss with your line manager.

_____

_____

_____

_____

Signed _____ (Appraisee)

Date _____

Performance Review

APPRAISER

Pre-Review Form

Appraiser to complete this form and exchange it with the member of staff at least one week before the performance review meeting

Appraiser: _____

Appraisee: _____

Date of Performance and Development Review Meeting: _____

2001

ELMWOOD TEAM MANAGEMENT SYSTEM

Performance & Development Review

Appraiser

Name: _____

Position: _____

Appraisee

Name: _____

Position: _____

Operational Plan Review

1. Indicate the major strengths of the appraisee that have been evident in achieving or contributing to the team's operational plan objectives (refers to previous not current plan).

_____

_____

_____

_____

2. Indicate below any areas of weakness, cause for concern or need for support which have been identified through self evaluation or under performance of team objectives.

_____

_____

_____

_____

Signed _____ (Appraiser)

Date _____

PERFORMANCE AND DEVELOPMENT REVIEW MEETING

Performance Review Summary and Action Plan

Appraiser: _____

Appraisee: _____

Date of Performance and
Development Review Meeting: _____

2001

ELMWOOD TEAM MANAGEMENT SYSTEM

Performance & Development Review

Appraiser

Name: _____

Position: _____

Date: _____

Appraisee

Name: _____

Position: _____

Date: _____

Location: _____

The appraiser should complete this section in discussion with the appraisee, giving consideration to the comments in both the Appraiser and Appraisee Pre-Review Forms.

Section A - Operational Plan

Discuss with the appraisee the following:

1. The individual's operational objectives and/or contribution to team objectives which were achieved in the previous operational plan. Comment on the objectives achieved.

_____

_____

_____

_____

2.A. Agree the appraisee's individual objectives which relate to the current (new) operational plan and which must be achieved during the plan period.

_____

_____

_____

2.B. The action that will be required by the appraisee to enhance performance and maximise contribution to these current plan objectives.

3. Skills, knowledge and experience which are not being fully utilised.

Comment on how skills, knowledge and experience can be utilised.

4. The support and action that the appraiser will give to enable the appraisee to be effective and successful in their job.

Indicate the support and action agreed.

Section B – Training and Continuing Professional Development

Discuss with the appraisee the following:

5. The appraisee's training and CPD requirements for the academic session 2001-2002. Agree on completion dates.

_____

_____

_____

_____

6. Other developmental and action areas.

The following action points have been agreed and should be completed within the specified timescales.

Action Points	Timescale
_____	_____
_____	_____
_____	_____
_____	_____

Signatures of Agreement

Appraiser		**Appraisee**	
Name:	_____	Name:	_____
Position:	_____	Position:	_____
Date:	_____	Date:	_____

Appendix 3

H.M.I. Interview Schedule

Interview Schedule for Thursday 25th October 2001

Location: Scottish Executive Offices, Victoria Quay, Edinburgh

Interviewee: H.M.I.

<u>Prompts</u>

1. Thank xxxx for taking the time to see me today.

2. Explain to xxxx that I would like to carry out a semi-structured interview, which should last approximately one hour. I will record it through note taking.

3. Discuss with xxxx how confidential the outcome of the interview has to be, given the fact that information obtained will inform my research.

4. Discuss any protocols, which may be necessary in order to correctly reference the outcome of the interview.

5. Explain the purpose of the interview.

   The purpose of my visit today is to determine the Inspectorates view on what constitutes the essential elements of an annual staff review and in particular the review of staff performance.

6. The reason for this particular interest is that I cam currently undertaking a Doctor of Education Degree at Strathclyde University. The subject of research for the degree is Performance Management in Further Education using the Balanced Scorecard as an approach.

7. Explain concept of Balanced Scorecard.

8. I am also responsible for arranging part of the PDN conference on 29th and 30th November at Stirling and this topic is what we would like you to address in your lecture on the morning of the 29th.

9. Is there anything else you would like me to confirm or explain at this stage?

Questions

I would like to structure the questions into three parts, the first to deal with general points about appraisal.

The second to look at performance in appraisal and review in two areas and these are:

- the assessment of the quality of learning and teaching
- the review of staff performance.

The third is to determine your view on where exactly we are with appraisal and performance review and where we might want to direct future development.

General Appraisal Areas

Q. The original guidelines on appraisal in FE were issued in February 1991.

Can you tell me the extent to which they are used as a baseline for determining the acceptability of a college appraisal system when you assess appraisal systems?

Q. What additional elements (not contained in the 1991 guidelines) do you look for and indeed expect in a college appraisal system?

Q. There are a variety of statements used by colleges to identify their appraisal system e.g. Career Review and Development, Staff Development Review, Appraisal and Development Review, Annual Review.

This list is not exhaustive. What is your opinion on why there are a multitude of terms used?

Q. Have you found that what the process is called determines the degree of hardness or softness of the appraisal process?

Q. If I suggested that soft schemes were predominantly related to career review and hard schemes were related to performance setting, what is your opinion of this?

Q. What changes have you found being introduced by colleges into college appraisal systems?

Q. Why do you think that these changes are taking place or why do you think there have been very little or no changes?

Q. What are the extremes of confidentiality and openness that you expect to see in an appraisal system?

Q. How would you assess the effectiveness of the appraisal procedure in terms of its design, implementation and outcomes?

Q. Can you advise me of any evidence, which you may be aware of that appraisal systems are effective in improving colleges?

Performance Areas

Q. How do you expect the classroom observation on the quality of learning and teaching to be carried out?

Q. Are there any restrictions on who should carry out the observation?

Q. How do you expect the outcome of the observation to be assessed?

Q. What is your opinion on peer review as a means of assessing the quality of learning and teaching?

Q. In a performance management system where individuals and teams have agreed their objectives, theory says that you do not therefore require an annual appraisal as performance measurement is part of an on-going process.

What would be your views on this type of scenario?

Q. What performance areas of staff would you expect to be reviewed and at what frequency?

Q. How do you feel that staff performance should be assessed as part of a performance review?

Q. Can you advise me of any evidence which you may be aware of that indicates that reviewing staff performance improves individual team or departmental performance?

Additional question prompts depending on flow of conversation

Q. Finally, where do you think colleges should be going in terms of appraisal and performance reviewing for the future?

Q. Is there anything else that you would like to contribute to this debate and that I should be considering?

xxxx thank you for answering these questions and for giving your time today. I will email you a transcript of my notes before I use any of it in the write up of my dissertation.

Appendix 4

ETMS Evaluation Questionnaire

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ETMS Evaluation

Questionnaire

Aim

The aim of this questionnaire is to assist in the evaluation of the Elmwood Team Management System (ETMS). ETMS has been the basis of the development of teams in the college, the operational plan and the change from Appraisal to Performance Development and Review.

As with all developments it is necessary to determine the affect it has had and to evaluate if it has been successful.

This is a confidential questionnaire, information will be dealt with in strict confidence and will only be used to produce statistical information.

It is important that you answer the questions as accurately as possible.

When you have completed the questionnaire please return the completed questionnaire to your team's admin assistant.

All questionnaires should be returned by **20th December 2001.**

Where the term team leader is used this can also refer to a line manager.

Section 1

Please tick the box which best describes your role in the college.

Lecturer Full Time / Part Time ☐

Member of Support Staff ☐

Team Leader Teaching ☐

Line Manager Support Staff ☐

Section 2 – Operational Plan and Teamwork

Please tick the box which indicates your strongest feeling about the statement.

		Strongly Agree	Agree	Undecided	Disagree	Strongly Disagree
1.	I understand the general aims and direction of the college.	☐	☐	☐	☐	☐
2.	I was involved in developing team objectives with the members of my team and team leader.	☐	☐	☐	☐	☐
3.	I have access to my team's operational plan.	☐	☐	☐	☐	☐
4.	I know the operational plan targets my team have to achieve in the academic year.	☐	☐	☐	☐	☐
5.	We have regular team meetings to discuss the progress of our team objectives.	☐	☐	☐	☐	☐
6.	I understand why there are five focus areas in the operational plan e.g. Customers, Finance, Staff, Systems and Developments.	☐	☐	☐	☐	☐

		Strongly Agree	Agree	Undecided	Disagree	Strongly Disagree
7.	There is a commitment from all of the members of my team to achieve our operational plan objectives.	☐	☐	☐	☐	☐
8.	An effective operational plan comes from constructive team meetings before the plan is written.	☐	☐	☐	☐	☐
9.	I know what individual objectives I have to achieve and which contribute to my team's overall objectives.	☐	☐	☐	☐	☐
10.	I feel that the team system in the college is effective in helping the college achieve its objectives.	☐	☐	☐	☐	☐

Section 3 – Performance and Development Review (PDR)

		Strongly Agree	Agree	Undecided	Disagree	Strongly Disagree
11.	My PDR was constructive in reviewing my objectives from my previous appraisal.	☐	☐	☐	☐	☐
12.	The PDR allows me to discuss my own objectives constructively with my team leader.	☐	☐	☐	☐	☐
13.	I feel that the PDR allows me to discuss my skills and potential capabilities with my team leader.	☐	☐	☐	☐	☐
14.	The PDR process helps me to resolve personal problems with my team leader.	☐	☐	☐	☐	☐
15.	The PDR interview with my team leader is constructive in identifying objectives I have to achieve and which contribute to my team's operational plan.	☐	☐	☐	☐	☐

Section 4 – Continuing Professional Development (CPD)

		Strongly Agree	Agree	Undecided	Disagree	Strongly Disagree
16.	CPD and training opportunities are essential outcomes of the PDR process.	☐	☐	☐	☐	☐
17.	I know what I want to achieve through CPD each year.	☐	☐	☐	☐	☐
18.	CPD is an essential part of the ETMS system.	☐	☐	☐	☐	☐
19.	CPD helps to improve my job satisfaction.	☐	☐	☐	☐	☐
20.	CPD should be mandatory with an agreed number of days training and development allocation each year.	☐	☐	☐	☐	☐

Appendix 5

Focus Group Procedure and Questions

Senior Management Review

Review of College Performance Management System

Note of meeting held on Tuesday 12 February 2002 at 2.30 pm in the College Boardroom

Present: A J Morrison, B Bayne, J Taylor, C Borthwick, M Fraser, I Pearce, I Winn

Apologies: T Birrell

Minutes: S Ogilvie

Initials	Comments	Action
AJM	AJM opened the meeting by recapping on the performance development and review process and the IIP implications. Charts were circulated analysing the two development plans used in the study. A discussion took place regarding this as the analysis of the sections was studied. The analysis of the questionnaire results was looked at and again a discussion took place.	
JT	Many staff may not have recognised the fact they were being involved in planning for the Operational Plan	
MF	Where was the questionnaire sent?	
AJM	It was sent to admin assistance and then full time members of staff.	
BB	Would the results not be more disappointing if it had been sent to full and part time members of staff?	
CB	This is the first year of the new process and some team leaders are new to it so there may need to be some changes.	

MF	It is a great process and many staff got a lot out of it.	
AJM	There should be monitoring of team meetings.	
BB	This is the first time for many staff to have a higher level of involvement. It may be better not to change the process too much until the outcome is clear.	
MF	Self-evaluation and operational planning days are successful. Maybe we should look at another day to discuss this. Operational planning and self-evaluation are not always being used in appraisals. Difficult to relate to operational plan.	
JT	In the past it has been focussed on key areas and incomplete objectives.	
IP	Should have sector reviews. Team leaders did presentations but not reviews.	
MF	Should it be based on past operational plan or current?	
IP	We need to sharpen up areas mid way through the year.	
CB	Need a better picture from the team.	
MF	It doesn't reflect the self-evaluation day.	
IP	Some teams were missed such as farm, short courses. Missing people need to be included and all teams should be part of the operational plan.	
MF	Some teams support everyone else's areas – cross college. Some areas are under pressure to contribute to the plan. Could reviews be in June?	

BB	Would there not be serious time constraints in June?	
JT	Why should we performance review everyone every year? Why is it within set time periods? Someone should designate groups that will be reviewed at any given time.	
CB	Different times of the year are better for some areas.	
JT	What is significant teaching input? This needs to be made clear.	
MF	People can see self-evaluation and planning days as useful but appraisal is a repeat performance every year. People still see it separately from the other days.	
JT	You have to plan for each appraisal. It would be useful if everyone had their own mini development plan. Sometimes you have to create opportunities for people.	
MF	Some people have the same objectives every year.	
CB	Many people have forgotten what objectives they put down.	
JT	There should be a maximum number of people being appraised by an individual. 11 is far too many and it becomes a meaningless exercise. I had a pre-appraisal meeting with everyone, five or ten minutes, and it was really useful. Some team leaders complained they did not get paperwork and therefore thought they had nobody to appraise. Classroom observations take up a lot of time as well.	
AJM	Classroom observations can be done throughout the year.	

A discussion took place regarding the timing of the performance and development reviews and it was decided that June –Sept would be a good time, as it would tie in with the end of the operational plan. This is to be put forward as a recommendation.

JT	Some areas like mine have exams between April and June, which further complicates things. Team leaders should be appraised first and then they can appraise their teams.	
IW	This is the logical way to do it. It will then cascade down.	
IP	Another form meeting is required to look at certain questions, which seemed repetitive.	
JT	Should a group of people not be nominated to carry out classroom observations? It should be a team of people.	
CB	Would this be a cross college team?	
MF	It would give a much better reflection of good practice throughout the college.	
IW	This should be covered through meetings.	
AJM	Other colleges use that model. The inspectorate likes to see change as long as it is promoting good practice.	
CB	This would work as far as teaching goes but not spotting out of date material. A catering member of staff could not spot out of date golf material.	
IP	Out of date material is obvious and a cross college team would work.	
AJM	The minutes of this meeting will be typed up and we will have a formal review to look at changes and how to take the system forward.	

Appendix 6

Example Team Operational Plan

Example Team Scorecard

SCHOOL / SECTION **STAFF DEVELOPMENT**

Form DP2

STRATEGIC OBJECTIVES ACADEMIC YEAR 2001-2002

DEVELOPMENT	STRAT REF	COMMENTARY	RESOURCE IMPLICATIONS (staff/accommodation etc)	TARGET DATE	RESPONSIBILITY	PERFORMANCE MEASURE
Customers						
1. To continue Return to Work Industry Programme for lecturers	5, 6	Continue with programme from previous year for up to 8 staff	Staff Development Budget Staff Time	Sept 2001/ Aug 2002	Staff Development Co-ordinator	Completion of reports by 8 staff from programme
2. Survey of training needs for Support Staff	6	To support medium to long term staff training objectives	Staff Development Budget Develop Questionnaire	Sept 2001	Staff Development Co-ordinator	Completion of 60% returns of support staff training needs
3. IT Staff Training	6	Continue with programme for updating IT training needs	Staff Development Budget Staff Time	Sept 2001/ Aug 2002	Staff Development Co-ordinator	60% of all staff computer literate
4. To identify and support full time lecturers to gain the TQ/FE course at Northern College	5, 6	The college will meet the SFEFC target of 90% of FT permanent staff holding a TQ/FE by 2001 / 2002	Staff Development Budget	July 2002	Staff Development Co-ordinator	90% of FT permanent staff to have achieved TQ/FE qualification
Finance						
5. To monitor and control staff development budget within allocation	9	To ensure that best value is obtained in using budget allocation	Staff Development Budget	July 2002	Assistant Principal	Staff development budget is controlled within allocation
6. To allocate SFEFC funding allocation to priorities identified as TQ/FE, PDA development and management development	.9	To ensure that the college meets the SFEFC targets for this funding	SFEFC additional to budget	July 2002	Assistant Principal	Expenditure meets SFEFC targets and is not exceeded

7. To investigate the potential for development of a fixed element of staff development budget to teams	.9	To commence process of encouraging ownership of team training	Staff Development Budget	October 2001	Assistant Principal	10% of staff development budget allocated to academic teams
Staff						
8. To complete study of Performance Management system and carry out evaluation of its introduction at Elmwood	5, 6	The system of Performance Management will continue to develop over many years This evaluation will assess the success and problems which have been found	Staff Time	May 2002	Assistant Principal	A written report to be completed which summarises the effect the system of Performance Management has had on the college
9. To investigate giving staff development group individual responsibilities for the development and monitoring of specific staff development initiatives	6	The staff development budget and the additional funds received from the SFEFC gives the opportunity of members of the group to take on a more accountable and developmental role	Staff Time	June 2002	Assistant Principal Staff Development Team	A minimum of three members of the staff development team to have specific responsibility for an area of staff development
Systems						
10. IIP Review of Indicators	5	To prepare for second 3 year audit of standard	Staff Development Budget	To start by Dec 2001 with first progress report March 2002	Staff Development Co-ordinator	Preparation of plans for IIP review in 2002

11. To ensure Evaluation System is operational	5	Making effective use of existing systems to evaluate staff training	Staff Development Budget	Sept 2001	Staff Development Co-ordinator	System provides evaluative reports on staff training Reports to be available for each staff development meeting
12. To continue to develop Performance Management system using balanced scorecard approach	5	The effectiveness of this approach will be evident through production of operational plans	Allocation of time by Team Leaders to ensure that teams meet on a regular basis	June 2002 for next update	Assistant Principal Team Leaders Teams	All academic teams to use the balanced scorecard approach in preparing operational plans Development to continue
Developments						
13. Training to teach PDA	5, 6	50% of Part Time Staff to be qualified to PDA level by Dec 2001, 70% by Dec 2002 SFEFC Targets	Staff Development Budget	Aug 2002	Staff Development Co-ordinator	Targets achieved for part time teaching staff
14. Team Leaders and teams to receive training and development in relation to increasing responsibilities e.g. finance, budgets, leadership style	5, 6	Team development is an important feature of management planning and giving ownership to teams	Staff Development budget	June 2002	Assistant Principal Team Leaders Teams	Team leaders to undertake a minimum of 3 days training relating to team development
15. Review current system of Appraisal to align with Performance Management system	5, 6	Current system of appraisal does not meet concept of team work and performance management	Staff Time	Oct 2001	Assistant Principal Personnel Team Staff Development Co-ordinator	A revised system of appraisal to be in place by Oct 2001

ELMWOOD TEAM MANAGEMENT SYSTEM – ETMS STAFF DEVELOPMENT SCORECARD

Focus Areas	Customers	Finance	Staff	Systems	Developments
Strategic Aims	To encourage participation in lifelong learning, through a flexible, responsive and inclusive approach to the needs of business, the community and individuals and, in particular, to widen access to those who encounter barriers to education and training. To maximise student experience, fulfilment and progression in terms of personal, social and educational development.	To maintain a healthy financial position through careful cost control and the maximisation of income.	To maximise full staff potential and to encourage innovation and enterprise through strong leadership, personal and professional development, team empowerment and open and effective communication.	To seek continuous quality improvement in all aspects of college provision and service.	To gain recognition as a worldclass centre of excellence in the areas of golf, greenkeeping and other land-based specialisms. To achieve planned growth in student activity through a curriculum which focuses on areas of skills demand and is tailored to meet individual learner needs. To establish and develop mutually beneficial collaboration and partnership. To make a positive contribution to the local and national economy.
Critical Success Factors	Customer Care. Attractive facilities that meet customer needs. Conversion of enquiries to student starts. Effective student guidance. Well-informed students. Approachable staff. Accessible services. Safe Working Environment. Good communication – School Meetings Curriculum Team Meetings Team Meetings. Quality improvement – self evaluation.	Viable student numbers Budgetary control. Maximise external income. Contract management. Zero claw back amounts.	Effective policies and procedures. Meeting legal requirements. Effective staff training, CPD, and career development. Effective recruitment. Appropriately qualified staff. To promote a management culture which encourages innovation and enterprise; ownership; effective communication; positive working relations; fair reward; and equal opportunities. Continuing IIP approval.	Complete data sets. Accurate data. Avoidance of data duplication. Data available on time. IT systems operational. Systems fully understood and implemented.	Centre approval and Kite mark retention. Fulfilling industry benchmark standards.
Measures of Success	To continue Return to Work Industry Programme for lecturers Survey of training needs for Support Staff IT Staff Training To identify and support full time lecturers to gain the TQFE course at Northern College	To monitor and control staff development budget within allocation To allocate SFEFC funding allocation to priorities identified in TQFE, PDA development and management development To investigate the potential for development of a fixed element of staff development budget to teams	To complete study of Performance Management system and carry out evaluation of its introduction at Elmwood College To investigate giving staff development group individual responsibilities for the development and monitoring of specific staff development initiatives	IIP Review of Indicators To ensure Evaluation System is operational To continue to develop Performance Management system using balanced scorecard approach	Training to teach PDA Team Leaders and teams to receive training and development in relation to increasing responsibilities e.g. finance, budgets, leadership style Review current system of Appraisal to align with Performance Management System

Appendix 7

Balanced Scorecard and Strategic Aims Cross-Match

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2.4 Strategic Aims 2001-2004

Customers

1. To encourage participation in lifelong learning, through a flexible, responsive and inclusive approach to the needs of business, the community and individuals and, in particular, to widen access to those who encounter barriers to education and training.

4. To maximise student experience, fulfilment and progression in terms of personal, social and educational development.

Finance

9. To maintain a healthy financial position through careful cost control and the maximisation of income.

Staff

6. To maximise full staff potential and to encourage innovation and enterprise through strong leadership, personal and professional development, team empowerment and open and effective communication.

Systems

5. To seek continuous quality improvement in all aspects of college provision and service.

Developments

2. To gain recognition as a world class centre of excellence in the areas of golf, green keeping and other land-based specialisms.

3. To achieve planned growth in student activity through a curriculum, which focuses on areas of skills demand and is tailored to meet individual learner needs.

7. To establish and develop mutually beneficial collaboration and partnership.

8. To make a positive contribution to the local and national economy.

Appendix 8

2x2 Contingency Tables

2 x 2 contingency tables relating to Chapter 5 tables 5.14-5.33.

Table 5.21 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	46	8	(54)
MANAGEMENT	21	0	(21)
TOTAL	(67)	(8)	75

n = 75 chi² = 2.10

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	39	4	(43)
SUPPORT	28	4	(32)
TOTAL	(67)	(8)	75

n = 75 chi² = 0.68

d.f = 1

not significant

Table 5.22 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	40	15	(55)
MANAGEMENT	19	1	(20)
TOTAL	(59)	(16)	75

n = 75 chi² = 3.11

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	35	8	(43)
SUPPORT	24	8	(32)
TOTAL	(59)	(16)	75

n = 75 chi² = 0.15

d.f = 1

not significant

Table 5.23 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	49	6	(54)
MANAGEMENT	20	1	(21)
TOTAL	(69)	(7)	75

n = 75 $chi^2 = 0.19$

d.f = 1

p < 0.01

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	40	4	(44)
SUPPORT	29	3	(32)
TOTAL	(69)	(7)	76

n = 76 $chi^2 = 0.13$

d.f = 1

not significant

Table 5.24 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	46	9	(55)
MANAGEMENT	21	0	(21)
TOTAL	(67)	(9)	76

n = 76 $chi^2 = 2.49$

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	37	7	(44)
SUPPORT	30	2	(32)
TOTAL	(67)	(9)	76

n = 75 $chi^2 = 1.72$

d.f = 1

not significant

Table 5.25 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	37	18	(55)
MANAGEMENT	17	4	(21)
TOTAL	(54)	(22)	76

n = 76 $chi^2 = 0.80$

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	30	14	(44)
SUPPORT	24	8	(32)
TOTAL	(54)	(22)	76

n = 76 $chi^2 = 0.15$

d.f = 1

p< 0.01

not significant

Table 5.26 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	38	17	(55)
MANAGEMENT	15	6	(21)
TOTAL	(53)	(23)	76

n = 76 $chi^2 = 0.04$

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	31	13	(44)
SUPPORT	22	10	(32)
TOTAL	(53)	(23)	76

n = 76 $chi^2 = 0.01$

d.f = 1

not significant

Table 5.27 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	44	10	(54)
MANAGEMENT	18	3	(21)
TOTAL	(62)	(13)	75

n = 75 chi² = 0.01

d.f = 1

p < 0.05

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	36	7	(43)
SUPPORT	26	6	(32)
TOTAL	(62)	(13)	75

n = 75 chi² = 0.08

d.f = 1

p < 0.05

not significant

Table 5.28 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	48	6	(54)
MANAGEMENT	19	2	(21)
TOTAL	(67)	(8)	75

n = 75 chi² = 0.05

d.f = 1

no difference

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	38	5	(43)
SUPPORT	29	3	(32)
TOTAL	(67)	(8)	75

n = 75 chi² = 0.00

d.f = 1

not significant

Table 5.29 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	47	7	(54)
MANAGEMENT	20	1	(21)
TOTAL	(67)	(8)	75

n = 75 chi² = 0.38

d.f = 1

p < 0.05

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	40	3	(43)
SUPPORT	27	5	(32)
TOTAL	(67)	(8)	75

n = 76 chi² = 0.68

d.f = 1

not significant

Table 5.30 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	29	24	(53)
MANAGEMENT	15	6	(21)
TOTAL	(44)	(30)	74

n = 74 chi² = 1.12

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	25	17	(42)
SUPPORT	19	13	(32)
TOTAL	(44)	(30)	74

n = 74 chi² = 0.00

d.f = 1

no difference

Table 5.31 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	39	9	(48)
MANAGEMENT	19	2	(21)
TOTAL	(58)	(11)	69

n = 69 $chi^2 = 0.93$

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	32	8	(40)
SUPPORT	26	3	(29)
TOTAL	(58)	(11)	69

n = 69 $chi^2 = 1.17$

d.f = 1

not significant

Table 5.32 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	48	3	(51)
MANAGEMENT	20	1	(21)
TOTAL	(68)	(4)	72

n = 72 $chi^2 = 0.04$

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	40	2	(42)
SUPPORT	28	2	(30)
TOTAL	(68)	(4)	72

n = 72 $chi^2 = 0.12$

d.f = 1

not significant

Table 5.33 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	48	3	(51)
MANAGEMENT	20	1	(21)
TOTAL	(68)	(4)	72

n = 72 chi² = 0.05

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	40	2	(42)
SUPPORT	28	2	(30)
TOTAL	(68)	(4)	72

n = 72 chi² = 0.03

d.f = 1

not significant

Table 5.34 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	36	14	(50)
MANAGEMENT	14	7	(21)
TOTAL	(50)	(21)	71

n = 71 chi² = 0.20

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	31	10	(41)
SUPPORT	19	11	(30)
TOTAL	(50)	(21)	71

n = 71 chi² = 1.25

d.f = 1

not significant

Table 5.35 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	44	7	(51)
MANAGEMENT	18	3	(21)
TOTAL	(62)	(10)	72

n = 72 chi² = 0.00

d.f = 1

no influence

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	37	5	(42)
SUPPORT	25	5	(30)
TOTAL	(62)	(10)	72

n = 72 chi² = 0.05

d.f = 1

not significant

Table 5.36 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	46	7	(53)
MANAGEMENT	17	4	(21)
TOTAL	(63)	(11)	74

n = 74 chi² = 0.41

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	38	5	(43)
SUPPORT	25	6	(31)
TOTAL	(63)	(11)	74

n = 74 chi² = 0.35

d.f = 1

not significant

Table 5.37 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	43	11	(54)
MANAGEMENT	18	3	(21)
TOTAL	(61)	(14)	75

n = 75 chi² = 0.37

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	38	6	(44)
SUPPORT	23	8	(31)
TOTAL	(61)	(14)	75

n = 75 chi² = 1.77

d.f = 1

not significant

Table 5.38 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	44	9	(53)
MANAGEMENT	15	6	(21)
TOTAL	(59)	(15)	74

n = 74 chi² = 1.25

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	37	6	(43)
SUPPORT	22	9	(31)
TOTAL	(59)	(15)	74

n = 74 chi² = 2.53

d.f = 1

not significant

Table 5.39 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	42	11	(53)
MANAGEMENT	18	3	(21)
TOTAL	(60)	(14)	74

n = 74 chi² = 0.51

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	38	5	(43)
SUPPORT	22	9	(31)
TOTAL	(60)	(14)	74

n = 74 chi² = 2.51

d.f = 1

not significant

Table 5.40 CT

	AGREE	UNDECIDED / DISAGREE	TOTAL
STAFF	38	16	(54)
MANAGEMENT	13	8	(21)
TOTAL	(51)	(24)	75

n = 75 chi² = 0.50

d.f = 1

not significant

	AGREE	UNDECIDED / DISAGREE	TOTAL
ACADEMIC	33	11	(44)
SUPPORT	18	13	(31)
TOTAL	(51)	(24)	75

n = 75 chi² = 1.68

d.f = 1

p < 0.05

not significant

Appendix 9

Objectives 2002-2003

Analysis

Objectives 2001 - 2002 (August to June)

	Completely Achieved	Partially Achieved	Not Achieved	Total Projects	Completely Achieved	Partially Achieved	Not Achieved
L-Engineering	5	1	3	9	56%	11%	33%
L-Agric&Equine	8	4	2	14	57%	29%	14%
L-Conservation	6	4	0	10	60%	40%	0%
L-Animal Care	1	5	4	10	10%	50%	40%
B-Health,Child,Soc.Sci.	15	6	1	22	68%	27%	5%
B-Comp,Creat.Studies	13	3	2	18	72%	17%	11%
B-Access&Commun.	5	4	0	9	56%	44%	0%
B-Bus&Mgt	8	6	2	16	50%	38%	13%
B-Food&Hosp	10	1	1	12	83%	8%	8%
G-Golf	12	3	9	24	50%	13%	38%
G-Sport	15	5	2	22	68%	23%	9%
G-Hort.	6	3	0	9	67%	33%	0%
Elm-Golf-Dev.	19	2	0	21	90%	10%	0%
Stud.Dev	5	3	6	14	36%	21%	43%
Community	15	2	3	20	75%	10%	15%
ClientServ(General)	6	2	5	13	46%	15%	38%
ClientServ(Supp&Guid)	6	6	3	15	40%	40%	20%
CS-CustomerServArea	6	0	2	8	75%	0%	25%
CS-LearningRes	15	1	4	20	75%	5%	20%
InformationServ	18	0	2	20	90%	0%	10%
Gov&CorpPlanning	9	2	0	11	82%	18%	0%
Finance	4	11	2	17	24%	65%	12%
StaffDev	12	2	1	15	80%	13%	7%
Personnel	6	3	2	11	55%	27%	18%
Marketing	3	2	0	5	60%	40%	0%
Proj&FundDev	19	0	0	19	100%	0%	0%
Totals	247	81	56	384	64%	21%	15%

	Achieved	Partially Achieve	Not Achieved	Total	Achieved	Partially Achieve	Not Achieved
Customers	66	18	12	96	69%	19%	13%
Finance	30	16	6	52	58%	31%	12%
Staff	42	14	6	62	68%	23%	10%
Systems	42	11	5	58	72%	19%	9%
Development	67	22	27	116	58%	19%	23%
Totals	247	81	56	384	64%	21%	15%

Appendix 10

Revised Forms 2002-2003

Example Completed OP1 Form

Operational Plan Objectives Form OP2

Revised Performance and Development Review Forms

TEAM **CLIENT SERVICES (Learning Resources)**

Form OP1
Operational Plan Review

OPERATIONAL OBJECTIVES 2001 / 2002
ACHIEVMENT / PROGRESS TO DATE

A list should be provided of principal objectives which were identified by the college in its previous plan, together with a statement of the extent to which the objectives were or were not achieved and as much explanatory material as is necessary to identify the reasons for success or failure.

OBJECTIVES 2001 / 2002		BALANCED SCORECARD AREA					EXTENT OF ACHIEVEMENT			COMMENTARY		
OBJ NO	OBJECTIVE	C F S SY D	Customers Finance Staff Systems Development	C	F	S	SY	D	AC	PA	NA	AC PA NA	Achieved Partially Achieved Not Achieved	(If partially achieved indicate extent of achievement. If not achieved indicate reasons)
1.	Formalise budgetary arrangements for LRC Resources				F				AC			This has worked well, resources were identified and bid for on a requirement to support individual curriculum's basis		
2.	Reclassify parts of library stock				F				AC			This too has worked well, tying the resources to individual curriculum's, established better links with academic teams		
3.	Implement annual stock editing policy				F				AC			As 2 above		
4.	Update library open shelving flexible shelving			C							NA	This was not achieved due to lack of funding		
5.	Investigate private study accommodation			C					AC			Students have made good use of the Career Shop, when it is available to them and more generally the new large individual study booths that we acquired from St Andrews University library		
6.	Purchase professional library guiding (shelf and end of bay guides)			C							NA	This was not achieved due to lack of funding		

7.	Set up a LRC committee with representation from all client groups	C					AC			This has been very useful, the group has met twice so far this session and having representation from students and academic staff offers a forum to discuss and understand the different groups perspectives
8.	Establish a pattern of regular effective team meetings			S			AC			Extremely valuable, offered excellent team building/development opportunities as well as involving everyone in the operational plan objectives
9.	Establish a bank of suitable relief staff			S			AC			This has worked very well, making use of our 2 part time student members of staff. These staff have offered flexible ways of covering for illness and training absences
10.	Investigate career development opportunities for LRC staff			S			AC			All F/T staff have undergone or are currently undergoing ECDL and other more specialised training
11.	Formalise links with curriculum teams			S			AC			Again most benefitial, make best use of resources and services, now involve admin assistants where appropriate
12.	Update Library procedures manual				SY		AC			Extremely valuable especially with training new staff, requires constant updating
13.	Set performance targets for LRC procedures/developments				SY		AC			These should help us monitor workloads
14.	Update procedures for tracking students for induction				SY		AC			Results from this years LRC student survey will indicate how successful this has been
15.	Develop a College copyright policy for staff manual				SY		AC			We have adapted Dundee College policy to meet our specific needs. Still to be adopted
16.	Integrated Learning Support • In conjunction with College Manager Support and Guidance, appoint a Learning Assistant • In conjunction with College Manager Support and Guidance delivery of basic skills training					D			NA	Not achieved due to Learning Support relocating to the new IT/Study Centre

17.	Library catalogue to be accessible via college intranet and internet					D			NA	Not achieved due to current library management system not compatible with intranet software
18.	Introduce information retrieval skills training					D		PA		Good model identified through liaison with Perth College. Will be introduced at the start of next session
19.	Produce a LRC induction pack for new college staff					D	AC			LRC will be involved in college induction process. Powerpoint presentation produced highlighting the main library and A/V services and facilities on offer
20.	Promote LRC services					D	AC			Achieve through enhanced links with teams and involvement in august staff development sessions

SCHOOL / SECTION

Form OP2
Operational Plan Objectives

OPERATIONAL OBJECTIVES FOR ACADEMIC YEAR 2002-2003

OBJECTIVES Balance Scorecard Focus Area Section 1 Customers Section 2 Finance Section 3 Staff Section 4 Systems Section 5 Developments	STRAT REF Cross ref to BS Focus Area 1 and 4 9 6 5 2,3,7&8	COMMENTARY State brief reason for including objective	RESOURCE IMPLICATIONS Quantify amount of resource required from • Nil • Staff Time (Hours) • Additional Staff FT / PT (No) • Staff Training (Days) • Equipment & Materials (specify) • Other (specify)	TARGET DATE Specify from 0-3 months 4-6 months 7-9 months 10-12 months 12+ months	RESPONSIBILITY Identify from • Staff name • Named Lecturer/s • Line Manager • Team Leader • Head of School • College Manager • Other: state who	PERFORMANCE MEASURE Must meet SMART criteria S = Specific M = Measurable A = Achievable R = Related T = Time Bound
Obj No						
	Section 1 Customers					
	Section 2 Finance					
	Section 3 Staff					

	Section 4 Systems						
	Section 5 Developments						

Performance Review

REVIEWEE

Pre-Review Form

Reviewee to complete this form and exchange it with their Team Leader / Line Manager at least one week before the performance review meeting

Reviewer: _____

Reviewee: _____

Date of Performance and Development Review Meeting: _____

May – August 2002

1. Indicate below your individual contribution to team and college objectives for operational plan 2001-2002 (refer to OP1 form).

2. Indicate below the support you would like your line manager to provide to enable you to be effective and successful in your job.

Signed _____ (Reviewee)

Date _____

Performance Review

REVIEWER

Pre-Review Form

Reviewer to complete this form and exchange it with the member of staff at least one week before the performance review meeting

Reviewer: _____

Reviewee: _____

Date of Performance and
Development Review Meeting: _____

May – August 2002

Operational Plan Review

1. Indicate the major strengths of the reviewee that have been evident in achieving or contributing to the operational plan objectives for the operational plan 2001-2002 (refer to OP1 form).

_____

_____

_____

_____

_____

2. Indicate below any areas of weakness, cause for concern or need for support which have been identified through self evaluation or under performance of individual or team objectives.

_____

_____

_____

_____

_____

Signed _____ (Reviewer).

Date _____

PERFORMANCE AND DEVELOPMENT REVIEW MEETING

Performance Review
Summary and Action Plan

Reviewer: _____

Reviewee: _____

Date of Performance and
Development Review Meeting: _____

Location _____

May – August 2002

Notes on Procedure

1) The review meeting should take place within seven days of the exchange of the pre-review forms.

2) The reviewer should have the following documents available to aid the discussion at the review meeting.

Form OP1	-	Review of the achievement of the operational plan objectives for the Operational Plan 2001-2002.
Form OP2	-	The team's operational plan objectives for the Operational Plan 2002-2003.

3) The reviewer should ensure that a copy of the OP1 form and OP2 form is available to all members of the team (availability can be through the college F Drive – shared directory).

4) The form has three sections

Section A	-	Reviews the operational objectives of the 2001-2002 operational plan.
Section B	-	Agrees the contribution that the reviewee will make towards achieving the operational plan objectives and also individual objectives for the period 2002-2003.
Section C	-	Agrees what training and other CPD requirements the reviewee should undertake for the 2002-2003 academic session.

Section A – Review of Operational Plan Objectives for the 2001-2002 Operational Plan

Discuss with the reviewee the following.

1. The achievement of individual and team objectives which contributed to the operational plan 2001-2002. (Refer to OP1 form)

Section B – Operational Plan Objectives for the 2002-2003 Operational Plan

Discuss with the reviewee the following.

2. Agree the individual objectives the reviewee will undertake and which must be achieved for the 2002-2003 operational plan. (Refer to OP2 form)

3. The support and action the reviewer will give to enable the reviewee to be effective and successful in achieving their operational plan objectives.

4. Other developmental action areas.

The following action points have been agreed and should be completed within the specified timescales.

Action Points	Timescale
_____	_____
_____	_____
_____	_____
_____	_____

Section C – Training and Continuing Professional Development

Discuss with the reviewee the following.

5. Agree with the reviewee the training and CPD which should be undertaken and completed during the academic session 2002-2003.

_____

_____

_____

_____

_____

Signatures of Agreement

Reviewer	**Reviewee**
Name: _____	Name: _____
Position: _____	Position: _____
Date: _____	Date: _____