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A social cognitive and cross cultural investigation of performance appraisal in Australian and Vietnamese universities

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**A SOCIAL COGNITIVE AND CROSS CULTURAL INVESTIGATION OF
PERFORMANCE APPRAISAL
IN AUSTRALIAN AND VIETNAMESE UNIVERSITIES**

A thesis submitted in fulfilment of the requirements
for the award of the degree

DOCTOR OF PHILOSOPHY

from

UNIVERSITY OF WOLLONGONG

by

LUU NGUYEN QUOC HUNG
BA. in TESOL, MEd.

**FACULTY OF EDUCATION
2013**

CERTIFICATION

I, Luu Nguyen Quoc Hung, declare that this thesis, submitted in fulfilment of the requirements for the award of Doctor of Philosophy, in the Faculty of Education, University of Wollongong, is wholly my own work unless otherwise referenced or acknowledged. The document has not been submitted for qualifications at any other academic institution.

Luu Nguyen Quoc Hung

19 June 2013

ABSTRACT

In recent decades, universities in many countries have been required to adopt systematic performance appraisal systems to increase quality and effectiveness of academics' performances. Increasing attention has been paid to how intra-individual psychological factors and cultural orientations at the individual level are related to performance appraisal. With the aim to develop knowledge of self-efficacy in relation to academic performance appraisal from a cross-cultural perspective, this exploratory study investigated relationships between academics' self-efficacy for research, self-efficacy for teaching, self-efficacy for performance appraisal, trust in performance appraisal, and cultural orientations at the individual level.

The samples comprised 249 Australian and 205 Vietnamese academics, randomly selected from schools or faculties of Social Sciences and Humanities, Sciences, and Education in three randomly selected public universities in each country. Data were gathered by an online survey. Quantitative data were analysed by correlational analysis, factor analysis, multiple regression, and discriminant analysis. Thematic analysis was used with free responses.

The study introduced a new construct, "self-efficacy for appraisal", and investigated this construct in the Australian and Vietnamese university contexts. The main results were positive associations of self-efficacy for research, self-efficacy for teaching, and trust in appraisal, with self-efficacy for appraisal. In addition, academic qualification and rank were found to be associated with self-efficacy for research in the Australian sample, and age was positively related to self-efficacy for research and self-efficacy for teaching in the Vietnamese sample. The study also found moderating effects of idiocentrism and allocentrism in relation to self-efficacy beliefs. Free responses identified dissatisfaction, and concern about fairness of appraisal in both Australian and Vietnamese samples, and proffered suggestions for

appraisal improvement in the universities. The study also provided new insights to psychological aspects of performance appraisal in the Australian and Vietnamese university contexts. Understanding how academics' self-efficacy for appraisal is related to their self-efficacy for research and teaching is an important attempt to add to our knowledge of performance appraisal in universities, and may contribute to improving the quality of academic performance appraisal, and accordingly benefit academics and the organisations within which they work. In addition to informing policy makers of the importance of introducing systematic performance appraisal systems to ensure fairness, strategies to enhance academics' self-efficacy for appraisal, self-efficacy for research and teaching, and potentially, improve the overall quality of performance appraisal were formulated from the results.

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CHAPTER ONE – INTRODUCTION

1.1. Introduction

This introductory chapter presents the statement of the problem, then discusses background of the study. Purposes and significance of the study are presented, and finally the structure of the thesis is outlined.

1.2. Statement of the problem

Universities like other work organisations have sought to optimise the performance of their human resources in order to achieve high levels of productivity, efficiency, and effectiveness (Boachie-Mensah & Seidu, 2012; Egginton, 2010). Many universities have introduced a systematic and managerial style of governance as a response to increasing commercialisation of education business in the era of globalisation (Herdlein, Kukemelk, & Turk, 2008; Smeenk, Teelken, Eisinga, & Doorewaard, 2009). Of performance management related activities, performance appraisal has been identified potentially as a key tool for both university management and the staff (Anjum, Yasmeen, & Khan, 2011; Turk & Roolaht, 2007).

A voluminous body of research has focused on development and purposes of performance appraisal in universities (Anjum, et al., 2011; Flaniken & Cintrón, 2011; Lonsdale, 1998), aspects of effective performance appraisals (Boachie-Mensah & Seidu, 2012; Simmons, 2002; Wilson & Nutley, 2003), and how appraisal processes likely influence academics' performance (Boachie-Mensah & Seidu, 2012; Ndambakuawa & Mufunda, 2006). However, little attention appears to have empirically examined academic appraisees' self-beliefs related to the process, particularly from a cross-cultural perspective.

There has been growing awareness and application of social cognitive theory in relation to performance due to its combined focus on learning and cognitive processes (Gibson, 2004). Central to the theory's components, self-efficacy has been widely documented and applied to a range of research on work-related practices, including individual and group performance management and performance appraisal (DeWitz & Walsh, 2002; Maddux, 1995; Zimmerman & Schunk, 2003). Self-efficacy is defined as "people's judgements of their capabilities to organize and execute courses of action required to attain designated types of performance" (Bandura, 1986, p. 391). Self-efficacy has been examined extensively in both academic and non-academic settings because of its integral relationships with human agency (Pajares, 1996; Phan, 2012). Research findings have indicated that individuals who develop strong self-efficacy for a specific task are more likely to exert more effort, persist longer, and generally perform more successfully in that task than those with lower self-efficacy (Akinbobola & Adeleke, 2012; Bandura, 1997; Phan, 2012). Although a vast amount of research has reported positive relationships between self-efficacy beliefs and academic performance (Bailey, 1999; Hemmings & Kay, 2010a; Landino & Owen, 1988; Zhao, McCormick, & Hoekman, 2008), there appears to have been no empirical study to date that examined relationships between university academics' self-efficacy for research and teaching and their self-efficacy for performance appraisal.

The present study is a contribution to the development of knowledge, and attempts to build a bridge by generating new knowledge from investigating academic performance appraisal in Australian and Vietnamese universities from social-cognitive and cross-cultural perspectives.

1.3. Background of the study

1.3.1. Overview of Australian universities

For the past few decades, under the influence of globalisation, Australian universities have experienced significant changes from internationalisation of their activities (Pratt & Poole, 1999; Ryan, 2012; Wells, 2003). The rise of enrolments of international students in Australian universities arguably has made the largest contribution to the export of educational services (Universities-Australia, 2009).

Bradley, Noonan, Nugent, and Scales (2008) noted two distinct phases of international education expansion. The first phase from the 1950s to 1980, under the Colombo Plan, was characterised by educational aid offering scholarships and fellowships to around 40,000 students from developing nations to study in Australia. The second phase from 1980 to the present has focused on educational trade through full-fee programs for overseas students. As a result of this change, universities have been empowered to be more productive and efficient in ways similar to the business sector (Alexander, 2000; Morris, 2006; Morris, Stanton, & Young, 2007).

The process of internationalisation of Australian universities (Pratt & Poole, 1999) has resulted in some marked consequences, including higher student-staff ratios, research performance, academic workloads, and working environments (Bradley, et al., 2008; Withers, 2009). Since the late 1980s, Australian university environments have been characterised by an ongoing transformation to increase globally competitive capacity (Lafferty & Fleming, 2000; Stavretis, 2007). Universities have been perceived as needing to be market-oriented (Alexander & Rizvi, 1993; Lafferty & Fleming, 2000), and to apply business management practices in addition to traditional academic functions (Blackmore, 2002). Accountability has become more vital in many universities' practices, including budget plans, curriculum design, and performance management-related practices. Research findings (Guest & Duhs, 2003; Lonsdale, 1998; Morris, 2006; Morris, et al., 2007) have pointed out the need

for quality management of academic staff, and addressed the necessity of performance appraisal as a primary mechanism for greater efficiency, effectiveness, and accountability in Australian universities.

1.3.2. Overview of Vietnamese universities

In Vietnam, people have tended to use different terms for universities including universities, colleges, institutes, polytechnics, and even schools (DEET, 1993; Hayden & Lam, 2010). There are also a number of ways of naming academic staff, such as teachers, instructors, lecturers, and professors (Mo, 2003). University programs generally offer bachelor degree courses of four to six years duration, and postgraduate programs at master and doctoral level. Programs may be undertaken as full-time regular courses, or part-time, usually as in-service (Hayden & Lam, 2010; MOET, 2006).

Universities generally are divided into schools or departments, each of which is under a department head, who is directly responsible for both administrative and academic matters, within the school or department (DEET, 1993; Hayden & Lam, 2010). Due to a highly centralised system of control throughout the country for the past forty years, most universities' activities are under control of the government and the Ministry of Education and Training (MOET) for their financial budgets, curricula, student enrolment, and staff quality management (DEET, 1993; Vallely & Wilkinson, 2008). However, this style of micro-management and lack of autonomy arguably has inhibited universities' innovation and weakened their competitive capabilities (Hayden & Lam, 2007; Nguyen, Oliver, & Priddy, 2009; Vallely & Wilkinson, 2008).

In response to growing competition among universities in Vietnam and from foreign countries as a consequence of internationalisation in education in recent decades (Mazzarol, Soutar, & Seng, 2003), Vietnamese universities more recently have been

required to be autonomous and accountable in their activities (Business-in-Asia, 2007; Hayden & Lam, 2007). Lack of accountability related to funding allocation, student enrolment quota, curriculum development, staff recruitment, and staff quality management during the transition from centralised authority to institutional autonomous management has been addressed as a serious problem in many universities (Harman, Hayden, & Pham, 2010; Nguyen, et al., 2009; Vallely & Wilkinson, 2008).

The quality of academic staff, generally recognised as one of the most important determinants of universities' effectiveness, has been an emerging concern (Nguyen, 2001), particularly in the rapid expansion of universities in Vietnam in recent years when there has been a serious shortage of qualified academics (Hayden & Lam, 2010). As an attempt to improve the quality of academic staff, universities have been required to implement effective and appropriate policies for staff performance, management and development (Pham, 2010).

One common element in the recent changes that have influenced Australian and Vietnamese universities is a growing need to improve and manage the quality of academics' performance. An investigation, of how intra-individual psychological factors are related to performance, arguably may be expected to assist university administrators and academic staff in effective performance management. In Australia, Bailey (1999) examined the relationship between motivation and self-efficacy for teaching and research, and several recent studies (Hemmings & Kay, 2009; Hemmings & Kay, 2010b) have focused on university lecturers' self-efficacy in relation to gender and qualifications. The current study primarily focuses on academics' self-efficacy beliefs in the context of performance appraisal. In addition, as self-efficacy theory originally was developed in Western contexts (Bandura, 1997), measures employed in Western cultures may not have the same currency in non-Western contexts (Williams & Williams, 2010). Consequently, a cross-cultural

study of Australian and Vietnamese university academics' self-efficacy in relation to performance appraisal is timely in terms of both research and practice.

1.4. Purposes and significance of the study

The purpose of this exploratory study is to investigate academics' beliefs related to performance appraisal in two distinct cultural settings, Australia and Vietnam, from a social cognitive perspective. The focus is on exploring the relationships between academics' self-efficacy for research, self-efficacy for teaching and self-efficacy for performance appraisal, trust in performance appraisal, and cultural orientations at the individual level.

Academics' self-efficacy for performance appraisal is empirically explored in relation to their self-efficacy for research and teaching. When applied, the study should assist university managers to improve performance appraisal procedures and make performance appraisal generally more effective.

1.5. Organisation of the thesis

The thesis consists of six chapters. Following this introductory chapter, chapter two summarises and discusses relevant literature providing bases for the theoretical background to the study. The literature review focuses on self-efficacy theory, cultural orientations at the individual level, and performance appraisal procedures in Australian and Vietnamese universities. The chapter ends with a description of the conceptual framework, discussion and presentation of hypotheses and research questions.

Chapter three describes the survey research design and explains methodology employed in the study. Issues related to a cross-cultural approach are discussed and

then, methodological issues such as sampling and instrument development are presented. Finally, the chapter explains the quantitative and qualitative methodologies employed in the study.

Chapters four and five report and discuss results of the statistical analyses and qualitative analysis, respectively. Quantitative data of the Australian and Vietnamese sample are analysed to test the proposed hypotheses, and research questions are addressed. Qualitative data from free responses are analysed, using thematic analysis to provide further insights to the quantitative survey data. Comparisons of the results of the Australian and Vietnamese sample are made.

Chapter six summarises the findings after discussing limitations of the study. Then, implications for practice, policy, and research are presented. Finally, suggestions for future research are presented.

1.6 Chapter summary

This chapter provided the background to the thesis and presented the purposes and significance of the study. In the following chapter, literature related to the study is reviewed, focussing on social cognitive theory, particularly self-efficacy theory, cultural orientations at the individual level, and academics' performance appraisal. A conceptual framework is developed and explained after the literature review, and hypotheses and research questions are proposed.

CHAPTER TWO – LITERATURE REVIEW AND CONCEPTUAL FRAMEWORK

2.1 Introduction

This chapter provides an extensive review of literature into major areas, which serves as theoretical background for the present study: social cognitive knowledge and self-efficacy theory, cultural orientations at the individual level, and performance appraisal practices in universities. First, an outline of social cognitive theory characterised by its overarching concept of triadic reciprocal determinism is presented. Second, an overview of self-efficacy theory and its implications for academic performance management are presented. Third, cultural dimensions of individualism and collectivism at the individual level in relation to performance and self-efficacy beliefs are reviewed. Fourth, an outline of performance appraisal procedures in Australian and Vietnamese universities is presented. Finally, based on relevant aspects of the literature review, the conceptual framework is developed, and hypotheses and research questions are proposed.

2.2. Overview of social cognitive theory

Increasing understanding of people's motivation, beliefs, emotion, and actions to explain their personal behaviours and to enhance their competence has been a longstanding goal of research (Maddux, 1995). It has been argued that human psychological functioning should be explored and explained using a reciprocal causal structure, rather than unidirectionally, that is, behaviours, environmental influences and personal factors are interacting determinants, which have bi-directional influence on each other (Bandura, 1978; Wood & Bandura, 1989b). Radical behaviourism, trait theories, and psychodynamic theories explain human behaviours in terms of "one-sided interactionism" (Bandura, 1986, p. 23) by either

environmental or personal determinants (Maddux, 1995; Wood & Bandura, 1989b), whereas social cognitive theory (Bandura, 1986) argues that a complete understanding of the “complexity and plasticity” of human thoughts and behaviours requires an understanding of three mutually interacting factors of influence: cognition, behaviour, and environment (Maddux, 1995). In different contexts, a number of researchers (Frayne & Geringer, 1994; Gibson, 2004; Maddux, 1995; McCormick, Ayres, & Beechey, 2006; Shea & Howell, 2000) have used social cognitive theory as a conceptual framework for studying human behaviours.

2.2.1. Triadic reciprocal determinism

Bandura’s (1986) overarching concept in social cognitive theory, reciprocal determinism, proposes that “behaviour, cognitive and other personal factors, and environmental influences all operate interactively, as determinants of each other” (p. 23). Figure 2.1 illustrates the relations among behaviour (B), personal factors (P), and environmental factors (E).

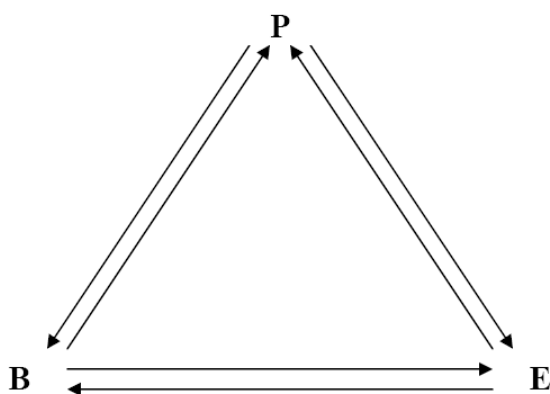


Figure 2.1. Schematisation of the relations between the three classes of determinants: personal factors (P), behaviour (B), and environmental factors (E) in triadic reciprocal causation (Bandura, 1997, p. 6)

Reciprocal determinism suggests that individuals can purposefully alter or even create their environments and their self-beliefs based on how they interpret the

results of their past performance attainments, and the changes of individuals' self-beliefs are likely to affect their subsequent performances (Pajares, 1996).

2.2.2. Reciprocal interactions

The three components of determinants represented in reciprocal determinism constantly interact and have implications for reciprocal change, that is, a change in one component is likely to affect the others. In this manner, behaviour is not simply the result of the environment and the person, just as the environment is not simply the result of the person and behaviour. The interacting influences, personal factors and behaviour, personal factors and environmental factors, and behaviour and environmental factors, are discussed in greater detail in the following sections.

2.2.2.1. Personal factors – behaviour

Personal factors and behaviour operate as reciprocal determinants of each other. People's beliefs, emotions, expectations, and intentions affect their behaviour (Bandura, 1989). For example, in an Australian study of the introduction of a new curriculum, McCormick and Ayres (2009) generally found that teachers with self-beliefs in their teaching capacity were likely to feel less stressed, use more technology in classrooms, and teach in new ways. In addition, Bandura (1978) posited that biological characteristics such as sex, race, age, size, and appearance can affect people's behaviour. Moreover, people's actions are likely to influence their thoughts and emotions to some extent (Bandura, 1989). Hacket and Betz (1995), in a study about career choice and development, reported that generally people's good career decision-making not only developed their professional skills but also could enhance their confidence.

2.2.2.2. Personal factors – environmental factors

The bi-directional interaction of personal factors and environment occurs when people's beliefs, expectations and cognitive competencies are developed and

modified by environmental influences (Bandura, 1989). For example, teachers' motivation, emotions, and expectations were found to be affected by school context variables such as organisational structure, working climate, and a school's management (Walker & Slear, 2011). On the other hand, people's personality traits as well as physical characteristics, such as their gender, age, race, and physical appearance, are likely to activate different reactions within their social environment (Bandura, 1989). In addition, Bandura (1989) contended that people's socially conferred status and observable characteristics such as their reputation of friendliness or aggressiveness may create certain reactions among other people within the environment.

2.2.2.3. Behaviour – environmental factors

Bandura (1989) argued that “people are both products and producers of their environment” (p. 4). From one side of the bi-directional interaction between behaviour and environment, people's behaviours can affect their social environment. An aggressive person, for example, may annoy others and create a hostile environment (Bandura, 1989). On the other hand, when there is a change in their social environmental conditions, people tend to appropriately adapt their behaviours. However, regarding conditions for environmental influence of personal factors, Bandura (1989) argued “most aspects of the environment do not operate as an influence until they are activated by appropriate behaviour” (p. 4). For example, when teaching is face-to-face, students must attend class to experience lecturers' instruction and influence. Another example is that parents generally do not compliment their children unless they behave well (Bandura, 1989).

Bandura (1978) argued that the three factors, behaviour, personal factors, and environmental influences, can interact simultaneously. However, in later studies, several researchers (Bandura, 1986, 1997; Gibson, 2004) have posited that the three reciprocal influences are neither necessarily equal, nor do they necessarily occur

simultaneously. The interactions between the causal factors are likely to vary depending on particular situations or individuals, which makes this model of causation very complex (Maddux, 1995).

2.3. Self-efficacy theory

Self-efficacy theory is a major component of social cognitive theory. In triadic reciprocal determinism, self-efficacy is primarily concerned with the function of personal factors (Maddux, 1995). Bandura (1986) defined self-efficacy as “people’s judgement of their capabilities to organize and execute courses of action required to attain designated types of performances” (p. 391). In a later work (1997), Bandura referred to self-efficacy as “beliefs in one’s capabilities to organize and execute courses of action required to produce given attainments” (p. 3). Several researchers have conceptualised self-efficacy slightly differently in specific research contexts. According to Wood and Bandura (1989a), self-efficacy refers to “beliefs in one’s capabilities to mobilize the motivation, cognitive resources, and courses of action needed to meet situational demands” (p. 408). Defined by Mitchell, Hopper, Daniels, George-Falvy, and James (1994), self-efficacy is “what a person believes he or she can do on a particular task” (p. 506).

Self-efficacy is the central foundation of human agency (Bandura, 1999). Arguably, people’s self-efficacy beliefs help determine their efforts for given tasks, the extent of their perseverance on the tasks when difficulties are encountered, and their levels of resilience in adverse situations (Bandura, 1997). Explaining how individuals’ self-efficacy beliefs influence their performance, Akinbobola and Adeleke (2012) contended that “individuals who feel that they will be successful on a given task are more likely to be so because they adopt challenging goals, try harder to achieve them, persist despite setbacks, and develop coping mechanism for managing their emotional states” (p. 59).

In extensive literature discussing relationships between self-efficacy and performance, “self-beliefs” generally has been used as an umbrella term to include self-concept, self-confidence, and self-efficacy (Bong & Clark, 1999; Bong & Skaalvik, 2003; Erford, Duncan, & Savin-Murphy, 2010; McCormick, 2001; Williams & Williams, 2010).

Williams and Williams (cited in T. Williams & Williams, 2010), based on Marsh’s (1986) work on verbal and maths self-concept, conceptualised self-concept as an assessment of self-worth when comparing past performances of self and performances of others, and self-efficacy as context-specific self-assessment of a person’s competence to perform a specific task. Self-concept and self-efficacy have comprehensively been reviewed in several studies in academic settings (Bong & Clark, 1999; Bong & Skaalvik, 2003; Ferla, Valcke, & Cai, 2009). In light of their review, Bong and Skaalvik (2003) referred to academic self-concept as “individuals’ knowledge and perception about themselves in achievement situations” and academic self-efficacy as “individuals’ convictions that they can successfully perform given academic tasks at designated levels” (p. 6). Both of these self-beliefs are domain-specific. This view is partly supported by McPherson and McCormick (2006) who, in a study about how young musicians’ performance examination results were related to self-efficacy, regarded content and specificity as major aspects to distinguish self-concept from self-efficacy. In academic literature, if compared with self-concept, self-efficacy generally appears to be a better predictor of specific task performance (Bong & Clark, 1999; Bong & Skaalvik, 2003). Several researchers (Bong & Clark, 1999; Gore, 2006) have contended that for predicting students’ academic performance on specific tasks such as maths problem solving, or essay writing, specific academic self-efficacy is more applicable than academic self-concept.

Erford, Duncan, and Savin-Murphy (2010) in their study on teachers' perceptions of self-efficacy of young students pointed out the interchangeable use of confidence and self-efficacy in different studies. Based on earlier studies, these authors contended that the measurement of confidence generally is included as a category when developing a specific self-efficacy scale such as confidence to perform math-related tasks. In a similar vein, Landino and Owen (1988) suggested that self-efficacy is not a general estimate of confidence in one's ability, but an estimate of confidence in performing particular tasks.

McCormick (2001) particularly noted the conceptual similarity of self-confidence and self-efficacy in his paper discussing how to apply social cognitive theory to enhance leadership effectiveness. McCormick, discussing Shrauger and Schohn's work (1995, cited in McCormick, 2001), referred to self-confidence as "people's self-judgments of their capabilities and skills or their perceived competence to deal successfully with the demands of a variety of situations" (p. 23). McCormick found different contexts in which these two constructs were substitutionally applied such as in sports settings. A significant implication from McCormick's study is to reveal the mediating mechanism of leadership self-efficacy under the influence of self-confidence on leadership performance. Some other writers (Adams, 2004; Hemmings, Kay, Sharp, & Taylor, 2012; Zhao, et al., 2008) have argued that apart from having a direct influence on performance, self-efficacy can have a mediating effect with other factors, such as motivation on performance. Further review of self-efficacy as a mediating factor in different contexts is presented in the following section.

2.3.1. Self-efficacy as a mediator

Several researchers (Bandura, 1984, 1999; Maddux, 1995) have posited that individuals' behaviours are regulated by their perceived self-efficacy through four psychological processes: cognitive, motivational, affective, and selective processes.

These processes arguably are not separate, but operate jointly in the ongoing process of regulating human functioning (Bandura, 1999).

2.3.1.1. Cognition

Numerous studies (Bandura, 1993, 1999; Maddux, 1995; Wood & Bandura, 1989b) have revealed that cognition can be affected by people's self-efficacy beliefs. Wood and Bandura (1989b) indicated a bi-directional interaction between individuals' cognition and their self-efficacy. In this manner, "people's high sense of efficacy fosters cognitive constructions of effective actions, and people's cognitive reiteration of efficacious courses of action strengthens their self-beliefs of efficacy" (p. 366). According to Maddux (1995), people's self-efficacy beliefs affect cognition in four principal ways. First, individuals' self-efficacy beliefs influence cognition through their goal-setting. For example, higher objectives of performance are set when people have stronger perceived self-efficacy. Second, self-efficacy beliefs help visualise plans or strategies for attaining the proposed goals. Third, individuals' self-efficacy beliefs may shape their analytical thinking for predicting and influencing events. Finally, efficiency and effectiveness of performing specific tasks may be affected by people's self-efficacy for problem-solving, that is, people with strong beliefs in their problem-solving capabilities are likely to be highly efficient and effective problem solvers and decision makers.

2.3.1.2. Motivation

Some researchers (Bandura, 1999; Hsieh, 2008; Maddux, 1995; Wood & Bandura, 1989b), in their studies related to motivation, have suggested that people's goal-setting, their efforts, and their perseverance for goal achievements are basically subject to levels of their self-efficacy beliefs. In educational contexts, several researchers (Ahmed, Qazi, & Jabeen, 2011; Yip, 2012) have argued that self-efficacy is a more consistent predictor of behavioural outcomes than any other motivational construct, although the strength of relationships varies between studies.

Although motivation has been substantially examined in terms of self-efficacy in relation to students' learning and learning achievements (Bong, 2004; Pajares, 1996; Schunk, 1991; Zimmerman, 1995), a number of studies have focused on relationships between university academics' self-efficacy and motivation related to academic performance (Bailey, 1999; Fettahlioglu & Gülay, 2011; Saracaloğlu & Dinçer, 2009). In a study with a university's academic staff, Bailey (1999) examined how motivation was related to self-efficacy in tandem with different factors such as gender, qualifications, and levels of appointment. The findings revealed a positive correlation between motivation and self-efficacy for research among staff with higher degrees regardless of gender. The association between self-efficacy and motivation consistently has been found in other studies (Bandura, 1988; Margolis & McCabe, 2003; Margolis & McCabe, 2006).

2.3.1.3. Affect

Individuals' self-efficacy beliefs are informed by affective or emotional states such as stress, anxiety, and depression (Bandura, 1993; Williams, 1995). There is evidence that self-efficacy can be undermined by high anxiety arousal (Maddux, 1995). In a discussion related to self-efficacy and emotional influences on performance, Maddux (1995) noted that "low self-efficacy beliefs for the prevention of aversive or harmful events lead to agitation or anxiety" (p. 14). In such situations, self-efficacy beliefs particularly referred to individuals' coping capabilities. According to Williams (1995), people may face potential dangers or threats in their environments, and anxiety may rise or fall depending on how well people believe in themselves to be able to exercise control over harmful events, and consequently these emotional responses may affect performance. In a study on the relationships between science self-efficacy, anxiety, and teaching effectiveness, Czerniak and Chiarelott (1990) reported that science teachers with limited teaching resources generally experienced negative attitudes towards teaching and had high science anxiety, and accordingly these teachers had low self-efficacy for science instruction.

Zimmerman (1995), discussing the relationship between self-efficacy and academic affect, found students' self-efficacy for maths performance to have stronger influence than maths anxiety on their mathematic performance. Zimmerman (1995) also reported Siegel, Galassi and Ware's results that students' self-efficacy for mathematics could better predict their maths performance than maths anxiety.

Regarding the influence of self-efficacy beliefs on depression, Maddux and Meier (1995) through their extensive review of literature, noted reciprocal relationships among self-efficacy, depressed mood, and performance attainments. In these reciprocal causality relationships, self-efficacy beliefs impacted mood and performance. Also, emotional states and performance attainments were found to be sources of self-efficacy information, and mood was directly or indirectly related to people's self-efficacy beliefs through cognitive and behavioural effectiveness. Sources of self-efficacy information will be discussed with greater detail after the discussion of self-efficacy and selection of environments and activities.

2.3.1.4. Selection of environments and activities

As people are partly the product of their environments (Bandura, 1989), through their self-efficacy beliefs they are likely to choose advantageous environments when possible (Bandura, 1993). According to Bandura (1993, 1999), people generally tend to avoid activities or situations which they believe to be challenging for their abilities and skills. However, people with high self-efficacy beliefs may set themselves challenging goals, and exert and sustain effort at difficult times to achieve success (Appelbaum & Hare, 1996; Lane & Lane, 2001). Literature on career-choice and development has addressed the impact of people's self-efficacy on their choice behaviour. Research findings (Hacket & Betz, 1995) revealed that when people had stronger self-efficacy, they generally showed greater interest in career options and exert more effort into preparing for job opportunities than those with low self-efficacy.

2.3.2. Sources of self-efficacy

As theorised by Bandura (1986, 1997), individuals generally develop their self-efficacy beliefs by interpreting information from four principal sources: mastery experiences, vicarious experiences, social persuasion, and physiological and affective states. In most studies of self-efficacy, these sources generally are presented in their level of importance (McCormick, et al., 2006; Phan, 2012; Usher & Pajares, 2008). In a comprehensive review of sources of self-efficacy, Usher and Pajares (2008) discussed the sources of self-efficacy in school contexts and presented methods of measuring these informational sources. Each of these sources will be discussed in greater detail based on extant literature.

2.3.2.1. Mastery experiences

Mastery experiences, or past performance attainments, are arguably the most powerful source of self-efficacy information (Bandura, 1997; McCormick & Ayres, 2009; Phan, 2012). It has been consistently found that when people successfully complete a task, particularly a challenging one, the results are interpreted, and these competence judgements will develop people's beliefs about their capability to engage in subsequent tasks or activities (Bandura, 1997, 1999). Successes generally enhance people's self-efficacy, whereas repeated failures generally undermine it (Bandura, 1997; Britner & Pajares, 2006; Holloway & Watson, 2002). In addition, as argued by Usher and Pajares (2008), achievements obtained by people's own efforts tend to have stronger influence on their self-efficacy beliefs than successes achieved with the help of others.

In a study about teaching self-efficacy related to occupational stress in the context of school curriculum reform in an Australian state, McCormick and Ayres (2009) found that teachers were likely to gain more confidence in delivering components of a curriculum when they had previous successful experiences. In a similar vein, Usher and Pajares (2008) found that science students with good results were likely

to believe themselves capable of doing well in the subject in the future. However, several authors (Gist & Mitchell, 1992; Mitchell, et al., 1994) noted the dynamic feature of people's self-efficacy as it may change over time, particularly when people face new experiences.

2.3.2.2. Vicarious experiences

Bandura (1997) argued that self-efficacy beliefs may be formed by the process of modelling or imitating other people's behaviours. Through observing others, especially admired, credible, and similar models, performing specific tasks, people are likely to develop self-efficacy for their own performance accordingly (Bartsch, Case, & Meerman, 2012; Czerniak & Chiarelott, 1990). According to Bandura (1988), modelling affects people's self-efficacy through a process of social comparison. In comparison with others, people can make judgements about their capabilities, and accordingly, increase or diminish their beliefs in their capabilities for completing similar tasks. The impact of modelling partly depends on the observer's perception of the similarity between the model and the observer, and the similarity between the problems faced by the observer and the model (Schunk, 1986). In addition, Usher and Pajares (2008) suggested that personal attributes of the observed models such as age, gender, and ethnicity generally provide self-efficacy information. These authors also indicated self-modelling, people's comparison of their own current and past performances, to be another type of vicarious experience capable of enhancing individuals' self-efficacy.

Vicarious experiences, although generally weaker than mastery experiences, may become an important source of information in situations in which prior experiences are limited (McCormick & Ayres, 2009; Usher & Pajares, 2008). For example, McCormick and Ayres (2009) found that responding to the need for preparing new teaching programs or applying new teaching technology, teachers were likely to have attended demonstrations by colleagues and trainers. Through vicarious

experiences, these teachers were likely to build self-efficacy beliefs about future performance. In a similar line, several researchers (Schunk, 1995; Usher & Pajares, 2008) have suggested that in most academic settings, students' self-efficacy beliefs could be obtained from knowledge of teachers and peers.

2.3.2.3. Social persuasion

Social persuasion, or verbal persuasion, generally is a less important source of information than mastery experiences or vicarious experiences for shaping people's self-efficacy beliefs (McCormick & Ayres, 2009; Phan, 2012). According to McCormick and Ayres (2009), this source of encouragement may become more significant when there is lack of direct experiences and limited access to models. However, Britner and Pajares (2006) argued that social persuasion alone is not sufficient for cultivating people's self-efficacy, but rather operates in concert with other sources of self-efficacy information.

Social persuasion arguably depends on factors such as expertness, trustworthiness, and attractiveness of persuaders (Appelbaum & Hare, 1996; Bandura, 1986; Maddux, 1995). Several researchers (Bandura, 1997; DeWitz & Walsh, 2002; Tschannen-Moran, Hoy, & Hoy, 1998) have contended that when individuals are encouraged and persuaded that they are able to succeed, they may develop stronger self-efficacy beliefs. Arguably, those with higher self-efficacy beliefs are likely to exert more effort into given tasks, and may succeed at a higher level than those with lower self-efficacy. However, as addressed by other researchers (Wood & Bandura, 1989a), individuals are likely to need both skill and self-efficacy to perform successfully a given task. In addition, negative feedback or critical comments tend to undermine self-efficacy more easily than positive encouragement can enhance it (Britner & Pajares, 2006; Usher & Pajares, 2008).

2.3.2.4. Physiological and affective states

Physiological and affective states such as anxiety, stress, and mood also provide information about self-efficacy, although this source of information generally is the weakest of the four sources (McCormick, et al., 2006; Phan, 2012). Pleasant physiological sensations such as positive moods are likely to lead people to be more confident in their capabilities, while negative physiological states such as fast heartbeat, anxiety, and fatigue may lower self-efficacy (Usher & Pajares, 2008). Bandura (1997) argued that neither too high, nor too low, physiological arousal is desirable for good performance.

2.3.2.5. Integration of sources of self-efficacy

Although mastery experiences are the most powerful source of information, the relative contributions of the other sources generally are important for shaping individuals' self-efficacy (Phan, 2012; Usher & Pajares, 2008). In addition, people are not always able to access all four sources of information in different environments. Some researchers (Bandura, 1997; Oettingen, 1999; Usher & Pajares, 2008) have pointed out that people develop their self-efficacy beliefs from informational sources differently, depending on their ways of interpreting and integrating these sources. The rules of integration hypothesised by Bandura (1997) are additive, relative, multiplicative, and configurative. It is additive when there exist all or most sources of information; it is relative when one source is stronger than another; it is multiplicative when there is an interaction effect between two sources; and it is configurative when one source of information depends on the others.

Several researchers (Maddux & Lewis, 1995; Usher & Pajares, 2008) have noted that information from one source can alter the effects of other sources. The combined effects of informational sources on self-efficacy are illustrated in the following example used by Usher and Pajares (2008):

A student who writes an excellent essay will likely earn top marks, receive praise from others, and experience positive feelings toward writing. Excellent writers are also influenced by models proficient at writing. As a consequence, such students will likely approach the task of writing with a strong sense of efficacy gained from the combined effects of these sources of information. (p. 775)

2.4. Relationships between self-efficacy and academic performance

Self-efficacy beliefs have been examined extensively in both academic and non-academic settings because of their integral relationships with human agency (Pajares, 1996; Phan, 2012). According to Pajares (1996), research in self-efficacy in academic settings generally has focused on two major areas. First, studies on the relationships between self-efficacy beliefs and major choices, especially in fields of science and mathematics, and second, studies on the relationships between self-efficacy beliefs and academic achievement outcomes. Research findings have consistently provided evidence of positive relationships between academic self-efficacy beliefs and academic performance (Britner & Pajares, 2006; Carroll et al., 2009; Schunk, 1995).

Bong (2004, p. 288) discussed Schunk's (1991) ideas of self-efficacy beliefs in academic settings and referred to these beliefs as "subjective convictions that one can successfully carry out given academic tasks at designated levels". In a similar vein, Zimmerman (1995) defined perceived academic self-efficacy as "personal judgments of one's capabilities to organize and execute courses of action to attain designated types of educational performances" (p. 203). However, these operational definitions have primarily been used in studies examining the potency of self-efficacy in teaching and learning processes. Self-efficacy beliefs, as addressed in theory and practice (Bandura, 1997, 1999), are dynamic personal factors influencing

human behaviours in a specific context. In the scope of the present study, academic self-efficacy is defined as “an estimate of confidence in one’s ability to perform various tasks classified as research, service, and teaching in a university” (Landino & Owen, 1988, p. 2). However, Bandura (1997) has consistently argued that self-efficacy is domain specific, and one might reasonably conceptualise at least three distinct self-efficacies related to research, service, and teaching. In addition, as research and teaching are two primary academic responsibilities, particularly in Vietnamese contexts (Hayden & Lam, 2010), the current study mainly focuses on academic self-efficacy for research and teaching.

In the context of universities in many countries, for the past few decades there has been a transition from traditional teaching-focused universities into more research-intensive universities (Brew, 2010; Harman & Le, 2010; Mohrman, Ma, & Baker, 2008). As a result of integration of teaching and research, academics have experienced increasing workload pressures in teaching and research (Lucas, 2007; Marsh & Hattie, 2002; Wei, Cheng, & Zhao, 2007). Developing an understanding of how university academics estimate their performance is of great importance to educators, university managers, and academic members themselves (Moses, 1988; Redmon, 1999). Recently, there has been an increasing number of studies, specifically investigating relationships between self-efficacy beliefs of university academics and their performances in research and/or teaching activities (Forester, Kahn, & Hesson-McInnis, 2004; Hemmings & Kay, 2009; Hemmings & Kay, 2010a; Morris & Usher, 2010). These studies, although generally limited to Western environments, have provided both theoretical background and empirical evidence for further research in this area of growing interest.

2.4.1. Research self-efficacy

Research self-efficacy refers to individuals’ beliefs in their capability to successfully execute specific research tasks (Forester, et al., 2004; Hemmings & Kay, 2010a).

Several studies (Hemmings & Kay, 2010a, 2010b; Vasil, 1992) have consistently identified self-efficacy as a predictor of research performance, particularly in relation to publication output. In addition to the identified relationship between self-efficacy and research productivity, Bieschke (2006) indicated a link, both direct and indirect, between self-efficacy beliefs and research interests. In a study on how intra-culturally relevant factors may be related to self-efficacy for research within a Chinese context, Zhao, McCormick, and Hoekman (2008) identified two factors of research self-efficacy. These were labelled according to the level of difficulty of research activities: self-efficacy for higher order research activities and self-efficacy for lower order research activities. In addition, the authors also confirmed the relationship between gender and level of self-efficacy for research, which had been examined in earlier studies (Landino & Owen, 1988; Vasil, 1992). The results of these studies have provided foundations for further investigation. A number of studies were primarily conducted in graduate contexts (Bieschke, Bishop, & Garcia, 1996; Forester, et al., 2004; Holden, Barker, Meenaghan, & Rosenberg, 1999), but few recently have focused on university academics' research self-efficacy either in Western environments (Hemmings & Kay, 2009; Hemmings & Kay, 2010a) or in a non-Western setting (Zhao, et al., 2008).

For measuring research self-efficacy, researchers have developed scales focusing on aspects of research in different contexts. For example, Bieschke, et al. (1996) used a 53-item instrument to measure doctoral students' research self-efficacy covering four important areas of research activities: conceptualisation, implementation, early tasks, and result presentations. Forester, et al. (2004) reviewed and applied three existing instruments for measuring research self-efficacy: research self-efficacy scale (RSES), self-efficacy research measure (SERM), and research attitudes measure (RAM), and suggested using a combination of these scales in further studies. More recently, Hemmings and Kay (2009) adapted Schoen and Winocur's work (1988) to develop items, measuring academic tasks in research, teaching, and

service. The authors noted a need to replace many original items due to recent changes in academe. In a study (2008), Zhao, McCormick, and Hoekman employed a 12-item instrument for measuring self-efficacy for research activities of academic staff in a Chinese university context.

2.4.2. Teaching self-efficacy

Teaching self-efficacy was found to be correlated with instructional practices and teaching behaviours (Morris & Usher, 2010; Yilmaz, 2009). Self-efficacious lecturers were likely to execute their teaching tasks more effectively, exert greater effort in motivating their students, and generally were likely to be more resilient when faced by obstacles, than were lecturers with lower self-efficacy (Morris & Usher, 2010). Morris and Usher (2010) in their investigation of self-efficacy sources in the context of research institutions identified mastery experiences and social persuasion to be the most powerful capability-related sources of information for teaching self-efficacy. Although the study was conducted with a small sample size of twelve associate and full professors, its significant contribution is to reveal how teaching self-efficacy may be developed and maintained.

Measurement of teaching self-efficacy has been reported in different contexts related to job stress (Klassen & Chiu, 2010; McCormick & Ayres, 2009), job satisfaction (Caprara, Barbaranelli, Steca, & Malone, 2006; Caprara, Barbaranelli, Borgogni, & Steca, 2003; Viel-Ruma, Houchins, Jolivet, & Benson, 2010), and to early teaching career development (Hoy & Spero, 2005; Tschannen-Moran & Hoy, 2007). Klassen and his associates (2009) explored a teaching self-efficacy scale in a cross-cultural study among five countries: Canada, Cyprus, Korea, Singapore and the United States of America. The study showed the validity of the scale across culturally diverse settings. However, existing studies have mainly been conducted in school settings rather than university contexts.

A few recent studies developed and adapted scales relevant to measuring university academics' teaching self-efficacy. Erdem and Demirel (2007) generated a collection of 28 teaching self-efficacy items analysing various aspects of self-efficacy beliefs for teaching, such as planning, implementation, and evaluation of instruction. The study, conducted in a Turkish university department, required further research not only in Turkey but also in large-scale settings to generalise the results. Another study (Li, 2008), a cross-cultural investigation of Australian and Chinese university academics' work motivation, modified teaching self-efficacy items from Schoen and Winocur's work (1988). The study supported the use of teaching self-efficacy measurement outside of western university environments.

2.5. Cultural orientations

Culture may be defined differently in different contexts (Matsumoto, Kudoh, & Takeuchi, 1996). Hofstede (2001) defined culture as “the collective programming of the mind that distinguishes the members of one group or category of people from another” (p. 9). In this manner, as individuals grow up in a culture, they generally are influenced by cultural patterns in such cultural environment. Five cultural dimensions which were identified by Hofstede are power distance, uncertainty avoidance, individualism and collectivism, masculinity and femininity, and long-term orientation and short-term orientation. These cultural dimensions have been examined in various educational cross-cultural studies (Cronjé, 2011; Signorini, Wiesemes, & Murphy, 2009).

According to Triandis (1972), culture may be defined as “shared attitudes, beliefs, categorizations, expectations, norms, roles, self-definitions, values, and other such elements of subjective culture found among individuals whose interactions were facilitated by shared language, historical period, and geographic region” (p. 3). Generally, such elements of subjective culture help members of a cultural group

adjust to their environment, and as a result, these elements generally are transmitted through socialisation, modelling, and other forms of communication from one generation to another.

Based on Kluckhohn and Strodtbeck's theory of cultural orientations, a group of researchers (Maznevski, Gomez, DiStefano, Noorderhaven, & Wu, 2002) developed a cultural orientation framework for analysing cultural dimensions at the individual level. In this context, "culture is defined as the pattern of variations within a society, or, more specifically, as the pattern of deep-level values and assumptions associated with societal effectiveness, shared by an interacting group of people" (Maznevski, et al., 2002, p. 276).

Although the concept of culture generally is related to a group-level phenomenon, it influences individuals' perceptions, values, and behaviours, especially with respect to social interaction (Maznevski, et al., 2002). These views are relatively in line with a later study (Lawler, Walumbwa, & Bai, 2008), which suggested "culture is a group-level characteristic, but cultural attributes generally have analogous cognitive structures at the individual level" (p. 8). In practice, much of cross-cultural research has focused on both cultural and individual levels (Carpenter & Radhakrishnan, 2000; Earley & Gibson, 1998; Maznevski, et al., 2002; Yamaguchi, Kuhlman, & Sugimori, 1995). At the cultural level, there has been an increasing interest in examining the constructs of individualism and collectivism, which have been found to be the most significant cultural dimensions in cross-cultural studies (Niles, 1998; Triandis, 1995; Yamaguchi, et al., 1995). A number of studies (Brewer & Chen, 2007; Parker, Haytko, & Hermans, 2009; Schwartz, 1990) have been conducted to examine the causes and results of individualism and collectivism since the work of Hofstede (1980). At the individual level when referring to individualism and collectivism, Triandis and his associates (1985) suggested using idiocentrism and allocentrism respectively to study the within-culture variation of personal attributes.

It is reasonable to differentiate individualism and collectivism from idiocentrism and allocentrism because the former represent general cultural values of cultures, whereas the latter have been used to measure these cultural values at the individual level (Chen, Wasti, & Triandis, 2007). The underlying assumption from several studies (Carpenter & Radhakrishnan, 2000; Triandis, et al., 1985; Triandis et al., 1993; Zhao, et al., 2008) is that there exist both idiocentrics and allocentrics in a culture whether it is individualistic or collectivistic, and that idiocentrism and allocentrism should be measured as two distinct constructs. The constructs of idiocentrism and allocentrism will be explained in greater detail after the discussion of individualism and collectivism.

2.5.1. Individualism and collectivism

Individualism-collectivism, which was identified as a single cultural dimension by Hofstede (1980), refers to “the degree to which a culture encourages, fosters, and facilitates the needs, wishes, desires and values of individuals over groups” (Matsumoto, et al., 1996, pp. 77-78). In various cross-cultural studies based on Hofstede’s work (Cronjé, 2011; Migliore, 2011), countries have been categorised as individualistic or collectivistic along an individualism-collectivism continuum. For example, United States, Australia and Great Britain have been regarded as individualist-oriented societies, while China, Hong Kong, Singapore and Thailand have been placed at the collectivism end of this continuum (Hofstede, 2001). However, some researchers (Triandis, 1995; Triandis, McCusker, & Hui, 1990) have argued that individualism and collectivism should be a multidimensional construct; in a given culture, a person can be either individualist or collectivist. In a similar vein, several researchers (Hook, Worthington, & Utsey, 2009; Li & Aksoy, 2006; Yamaguchi, et al., 1995) proposed that there may exist individualism in a predominantly collectivist culture, and collectivism in a predominantly individualist-oriented society.

Individualism is defined as “a social pattern that consists of loosely linked individuals who view themselves as independent of collectives”, and collectivism as “a social pattern consisting of closely linked individuals who see themselves as parts of one or more collectives” (Triandis, 1995, p. 2). Patterns of behaviours of individualists and collectivists have been examined in cross-cultural studies (Hui & Triandis, 1986; Matsumoto, et al., 1996; Schwartz, 1990; Triandis, 1989). Individualists generally consider themselves separate, unique, autonomous, and they generally set personal goals as their first priority. Collectivists, on the other hand, generally consider themselves closely connected with others in their in-groups, and recognise both personal and collective goals (Matsumoto, et al., 1996; Schwartz, 1990; Triandis, 1989; Triandis, Bontempo, Villareal, Asai, & Lucca, 1988). As discussed earlier, whereas individualism and collectivism have been used conventionally to represent a nation’s general cultural values, there has been a growing trend of using idiocentrism and allocentrism to refer to personal cultural characteristics (Wang & Yi, 2012; Zhang, Norvilitis, & Ingersoll, 2007).

2.5.2. Idiocentrism and allocentrism

Individuals who are more individualist tend to be “idiocentric”, and those who are more collectivist tend to be “allocentric” because individual cultural orientations may be expected to be influenced by cultural patterns, such as individualism and collectivism (Carpenter & Radhakrishnan, 2000; Zhao, et al., 2008). In this manner, idiocentrics generally are concerned with personal achievement, and give priority to personal goals over group goals. Allocentrics, on the other hand, generally tend to emphasise in-group relationships such as family, friends and colleagues, and view the self as embedded in social contexts. Allocentrics are typically concerned with group harmony, cooperative behaviours, sharing of resources, and consideration for others (Chen, et al., 2007; Lam, Chen, & Schaubroeck, 2002; Triandis, et al., 1985; Zhao, et al., 2008).

In line with research on idiocentrism and allocentrism, a growing body of studies has examined independent and interdependent self-construals as equivalent to idiocentrism and allocentrism (Downie, Koestner, & Horberg, 2006; Markus & Kitayama, 1991). Independent self-construal refers to self as unique, autonomous, self-expressed and direct, while interdependent self-construal refers to self as embedded in in-groups, harmonious and cooperative (Singelis, 1994; Singelis, Bond, Sharkey, & Lai, 1999).

Researchers have developed and adopted different scales for measuring aspects of idiocentrism and allocentrism related to group identity and cooperation (Chen, et al., 2007), in-group representation (Carpenter & Radhakrishnan, 2000), team performance (Alavi & McCormick, 2007), consumers' behaviours and lifestyles (Dutta-Bergman & Wells, 2002), self-efficacy for participative decision-making and employee performance (Lam, et al., 2002), and self-efficacy for research in universities (Zhao, et al., 2008). In a cross-cultural study on academics' self-efficacy for research, Zhao, McCormick and Hoekman (2008) suggested adopting Singelis' (1994) Self-Construal Scale (SCS) to measure the extent of connectedness between self and others, and Hui's (1988) Individualism-Collectivism Scale (INDCOL) to examine interpersonal concerns. Although much has been written about idiocentric and allocentric tendencies, the amount of empirical research appears to have been limited in academic settings, especially in specific non-western countries.

2.5.3. Individualist and collectivist views of performance

Individualistic and collectivistic differences have implications for performance management and for the implementation of individual performance appraisal, which have been theoretically and empirically supported (Fletcher, 2001; Gudykunst et al., 1992; Hempel, 2001; Mendonca & Kanungo, 1996; Ramamoorthy & Carroll, 1998). In general, individualists tend to prioritise personal needs over group benefits, so if there are conflicts between individual and group needs, or when the group fails to

satisfy personal goals, an individualist may be expected to leave the group to pursue his or her own personal goals. Individualists generally are expected to gain more benefits with performance practice, focusing on individual competitiveness and personal achievements, individual job design, and individual incentive schemes. On the other hand, collectivists generally tend to subordinate personal goals to group goals. Group interests and cooperative behaviours generally are emphasised in a collectivist culture. In addition, collectivists generally tend to emphasise seniority and group loyalty, and are expected to perform better in team-based job designs and group incentive schemes (Chiang & Birtch, 2010; Ramamoorthy & Carroll, 1998).

Berrel, Wright, and Tran (1999), in a study about management behaviour between groups of Australian and Vietnamese managers in the context of Vietnamese joint venture companies, found some basic differences in managerial practices. While Vietnamese managers tended to make more harmonious and collectively oriented business decisions, Australian counterparts generally were more direct and assertive as well as individually oriented. In a similar vein, several studies (Elenkov, 1998; Huo & Glinow, 1995) reported that managers in China generally tended to avoid confrontations and were reluctant to engage in two-way communication, whereas direct feedback of performance appraisal was encouraged by US managers. The findings from a number of studies (Chiang & Birtch, 2010; Hempel, 2001; Jung, Bass, & Sosik, 1995; Manning, 2003; Ross, Heine, Wilson, & Sugimori, 2005; Taormina & Gao, 2009) have consistently suggested that performance management practices are culture specific. In individualist cultures, individual performance is defined and measured in terms of outcomes, or in terms of behaviours that in turn lead to desired outcomes, while in collectivist-oriented societies, non-performance indicators such as values of morality, loyalty and obedience are attributed to defining performance (Hempel, 2001).

2.5.4. Relationships between cultural orientations and self-efficacy

Bandura (1997, 2002) hypothesised that people's self-efficacy beliefs are influenced and changed culturally; self-efficacy beliefs arguably are related to individualism and collectivism (Bandura, 2002; Earley, 1994; Earley, Gibson, & Chen, 1999; Markus & Kitayama, 1991). It is likely that individualists and collectivists differently interpret and process sources of information for their self-efficacy beliefs. Individualists' self-efficacy beliefs generally are tied to individual-based performance, whereas collectivists' self-efficacy beliefs generally are focused on group-based outcomes. Earley (1994), in a study on the effect of job training on self-efficacy beliefs and performance in individualist and collectivist cultures, found that personal cultural values were related to developing and maintaining self-efficacy. As interrelationships and group goals generally are valued in collectivist cultures, collectivists' self-efficacy beliefs for performing tasks arguably are enhanced with support by and in harmony with others in their ingroups, whereas individualists generally tend to develop self-efficacy for performing tasks as an individual. Some researchers (Markus & Kitayama, 1991; Triandis, 1989) have suggested that individuals in collectivist-oriented societies generally emphasise group identification rather than individual identity, and that collectivists tend to conceal their true capabilities. In a similar vein, Zhao et al. (2008) argued that in collectively oriented societies, expressions of low self-efficacy might be recognised as a virtue as a result of collectivists' valuing of modesty.

A group of researchers (Scholz, Gutiérrez, Sud, & Schwarzer, 2002) reported that self-efficacy was correlated with individualism. However, it was recommended that this association be further examined in large-scale studies (Bandura, 2002). In a study of cultural differences of performance feedback and self-efficacy, based on the hypothesis that individualists aimed at personal performance and collectivists focused on the group's outcomes (Markus & Kitayama, 1991; Triandis, 1989), Earley, Gibson, and Chen (1999) investigated a group of managers from the United

States of America, and two groups from collectivist cultures: Czechoslovakia and China. The study identified individualism and collectivism as key factors that shaped people's self-concepts and their actions. However, Earley, Gibson, and Chen noted that the development of self-efficacy in collectivistic groups generally was based on the successful performance of both individual and group effort.

At the individual level of cultural orientations, it has been suggested that allocentrics, who generally are concerned with interrelatedness and group harmony, may be more likely to enhance self-efficacy in an in-group context than in an individual or out-group context. On the other hand, idiocentrics who generally are characterised by autonomy and self-competence, are expected to have higher self-efficacy for performing tasks successfully in an individual performance setting than allocentrics (Earley, 1994; Zhao, et al., 2008).

2.6. Performance appraisal as an integral part of performance management

The concept of performance management has long been recognised as one of the core elements of human resource management (Delahaye, 2000). Some researchers (DeNisi & Pritchard, 2006; Nankervis & Compton, 2006; Williams, 1998) posited that performance, whether at an organisational level or at an individual level, should be managed efficiently. In general, performance management provides an opportunity for staff and performance managers to discuss development goals, and jointly create plans for achieving those goals (Boice & Kleiner, 1997; Piggot-Irvine, 2003). According to Williams (1998), the three main areas of a performance management system are managing organisational performance, managing employee performance, and integrating the management of organisational and employees' performance. In a similar vein, Stone (2002) presented key elements of performance management, including creating a shared vision of the organisation's strategic objectives, having performance objectives for each strategic business unit, using a

formal review process of progress towards these objectives, and linking performance evaluation with employee development and rewards to motivate and reinforce desired behaviour.

The Ministry of Education of New Zealand documented performance management as “encompassing recruitment, retention, selection, appointment, employment contracts, registration, appraisal and assessment, professional development, career development, succession planning, remuneration, discipline, and dismissal” (Piggot-Irvine, 2003, p. 170). Performance appraisal is therefore viewed as a subsystem of performance management (Armstrong, 1994; Stone, 2002; Wilson & Western, 2000). In reality, however, managers generally tend to equate the concept of performance management with performance appraisal because of the latter’s crucial role in performance management (Cederblom, 2002; Piggot-Irvine, 2003). Hughes and Sohler (1992) contested the idea of separating performance appraisal from performance management. These writers pointed to why performance appraisal and performance management are closely connected:

Performance management is rarely successfully implemented as a formal program without some form of appraisal as a way of gathering information about performance, and appraisal only succeeds when it is implemented as part of a performance management program which provides the necessary supportive structures and opportunities. (p. 41)

The emphasis on performance management and performance appraisal may vary in different human management practices, but the connection between the two is worth noting (Fletcher, 2001; Hall, Posner, & Harder, 1989; Lonsdale, 1998).

Understanding the nature of performance management and performance appraisal may result in managing staff performance more effectively and efficiently (DeNisi & Pritchard, 2006; Laird & Clampitt, 1985; Nankervis & Compton, 2006; Risher,

2003). There is no doubt that performance appraisal should play a major role in performance management in today's quality-oriented environments (Jawahar & Salegna, 2003; Lonsdale, 1998). The importance of performance appraisal has been addressed by numerous authors (Brown, Hyatt, & Benson, 2010; Prowse & Prowse, 2009; Wilson & Western, 2000), but there does not appear to be an all-encompassing definition. According to Wilson and Western (2000), performance appraisal refers to annual interviews between managers and employees to discuss individuals' job performance. Several researchers (Analoui & Fell, 2002; Delahaye, 2000) conceptualised performance appraisal as a process of evaluating how well employees perform their jobs when compared to a set of standards, and then communicating that information to the employees. In line with these opinions, Cascio (2003) contended that effective performance appraisal should provide the most direct and dynamic link between on-the-job performance and human resource development. Cascio also emphasised that performance appraisal should improve staff members' current work performances by helping them realise and use their potential capacity, and should provide both superiors and subordinates necessary information for work-related decisions.

Performance appraisals, when designed and implemented appropriately, should bring benefits to both organisations and individuals (Brown, et al., 2010; Nankervis & Compton, 2006). Mullins (1996) captured the essence of performance appraisal:

A comprehensive appraisal system can provide the basis for key managerial decisions such as those related to the allocation of duties and responsibilities, pay, delegation, levels of supervision, promotion, training and development needs, and terminations. (p. 639)

2.7. Performance appraisal in universities

Performance appraisal practices are not new in educational organisations (Gratton, 2004; Timperley, 1998). It has been a mandatory activity in many schools with the

aims of assisting professional development of teachers and improving management of schools (Mo, Conners, & McCormick, 1998; Peterson, 2004). In universities, although the issue of performance appraisal generally appears under-researched (Fletcher, 2001; Simmons, 2002), some recent studies (Anjum, et al., 2011; Egginton, 2010; Flaniken & Cintrón, 2011) have addressed the introduction of systematic staff appraisal as an essential part of universities' quality assurance and quality management processes. An outline of the development and implementation of performance appraisal practices in Australian and Vietnamese universities will be presented after a discussion of purposes and perceptions of trust in performance appraisal.

2.7.1. Purposes of performance appraisal

While the idea of performance appraisal has gradually gained more attention from universities' stakeholders, and the practice has been applied at different levels in many universities, there have been occasional debates over purposes of the system (Fisher, 1994; Flaniken & Cintrón, 2011; James, 1995a; Redmon, 1999). Fisher (1994) presented accountability and development as the two principal reasons for appraisal schemes: development is concerned with behaviour, and accountability deals with results achieved and resources expended. Redmon (1999) in his review of faculty evaluation contrasted the two primary purposes of appraisal of university academics: formative and summative. As broadly discussed in higher education's performance appraisal literature (Centra, 1993; Rifkin, 1995), formative appraisal focuses on individual academic development, whereas summative appraisal primarily serves personnel decisions. Simmons (2002) suggested universities should develop performance appraisal policies for their own purposes and processes. In line with this opinion, James (1995b), in a book chapter discussing relationships of performance appraisal and academic staff development in Australian university contexts, addressed the need of university policy makers to introduce and revise

their policies for academic staff development and appraisal. According to James, many Australian universities have recognised the close link between these two areas.

Despite different views of why an appraisal process is implemented, according to Dilts, Haber, and Bialik (1994), three basic functions of performance appraisal systems within a university generally are: first, identifying and evaluating performance of individual faculty members; second, providing incentives for faculty members; and third, monitoring the progress of the institution toward attaining its goals and objectives. It is also argued that clear purposes and fairness of a performance appraisal system implemented by an academic institution are likely to shape the culture and the quality of the academic outputs of that organisation (James, 1995a).

2.7.2. Trust and the acceptance of performance appraisal

Whether the purpose of performance appraisal is summative or formative, its processes and results should be accurate and fair to be accepted by both appraisers and appraisees (Anjum, et al., 2011; Reinke, 2003; Thurston & McNall, 2010). Bias in performance appraisal, which is subject to human cognitive processes (Reinke, 2003), can be reduced when there is two-way communication between appraisers and appraisees, as performance appraisal issues, such as goal-setting and appraisal criteria, can be discussed and adjusted for future performance improvement during performance appraisal meetings (Fulk, Brief, & Barr, 1985; Kavanagh, Benson, & Brown, 2007; Reinke, 2003). In a study with a group of managers, O'Reilly and Anderson (1980) found that appraisal feedback communication was associated with job satisfaction through the mediating effect of mutual trust between appraisers and appraisees. The authors noted that under conditions of high or low trust of supervisors, the amount, the relevance, and accuracy of feedback accordingly varied. The influence of trust on appraisers' rating behaviours was also reported in a study with two law enforcement organisations (Bernadin & Orban, 1990). The findings

suggested that appraisers, who did not perceive the performance appraisal process to be fair or accurate, generally tended to have generous ratings as a result of social desirability. A number of studies (Costigan, Insinga, Berman, & Ilter, 2007; Hartmann & Slapnicar, 2009; Hedge & Teachout, 2000; Yang, Mossholder, & K., 2009) indicated that trust serves as an important mediating factor for enhancing the interpersonal relationship between appraisers and appraisees, increasing participation in performance appraisal. Although further empirical research is needed for generalisability, particularly in academic settings, findings from some exploratory studies in business and industry contexts (Mayer & Davis, 1999; Mizrahi, Vigoda-Gadot, & Cohen, 2010; Reinke, 2003) identified trust as the most important predictor for the acceptability of performance appraisal process. It is possible that “trust” in this context, really is “trust that the appraisal will be positive”.

2.7.3. Performance appraisal in Australian universities

Like other public sectors, Australian universities have been perceived as needing major restructuring and application of corporate strategies to increase their operational capacities (Goedegebuure, Lysons, & Meek, 1993; Morris, 2006; Morris, et al., 2007). The Dawkins White Paper (1988) addressed performance management for academic staff as a means of more effective management of universities. Since the late 1980s, Australian universities have implemented performance appraisal practices under the influence of managerialism and New Public Management policies, with aims to increase efficiency and productivity, reduce cost, and increase accountability (Dunford, Bramble, & Littler, 1998; Lafferty & Fleming, 2000; Morris, et al., 2007).

According to Morris, Stanton, and Young (2007), performance appraisal was proposed through a wage determination system under an Industrial Award of the Australian Industrial Relations Commission (AIRC). Australian universities

appeared to respond slowly to these initial proposals, mainly due to debates over purposes of the process: staff development, staff control, and monitoring (James, 1995a; Morris, 2006; Morris, et al., 2007). In his paper discussing academics' views of the introduction of performance appraisal, James (1995a) also noted that the confusion between formative or summative purpose of the process might result from the distinction between the terms "appraisal" and "assessment". The former generally was used originally in the UK, while in Australian university contexts the latter was preferred (Paget, Baldwin, Hore, & Kermond, 1992). According to James (1995a), "appraisal is often used in reference to processes with developmental intent where personal decisions are foremost in mind, while assessment is reserved for summative processes which are driven by the need for personnel decisions" (p. 186). In discussion of literature about the evolution of performance appraisal, numerous terms for the process have been used such as "performance evaluation", "performance review", "performance appraisal", "staff appraisal", "faculty evaluation", "performance development", "performance review and development", and "performance review, planning, and development". Lonsdale (1998) suggested the terms can be used synonymously in a given context.

Developmental performance appraisals, as part of the University Industrial Award, were introduced to academic staff in 1991 (Morris, 2006; Morris, et al., 2007). Since 1996, with the introduction of University Enterprise Bargaining Agreements (EBAs), Australian universities generally have determined their own performance appraisal policies (Morris, 2006; Morris, et al., 2007).

According to Lonsdale (1998), in his paper exploring the historical status of performance management, performance appraisal in Australian universities has evolved through four successive generations. The first generation, which is characterised as "a control-oriented approach to management", involved formal assessment by supervisors and feedback provided to subordinates (Lonsdale, 1998).

Despite perceived negative effects of this control-oriented approach of assessment, some universities have continued to use this simple procedure of appraisal (Lonsdale, 1998; Meyer, 1991).

The second generation of performance appraisal was introduced in 1991 with emphasis on developmental purposes of staff appraisal under the pressure of increasing efficiency and productivity. Lonsdale (1998), through reviewing guidelines for staff appraisal schemes in Australian universities implemented by the National Steering Committee for Staff Appraisal during the two-year trial period from 1992 to 1993, outlined basic principles for conducting performance appraisal as an ongoing process. These included improving staff performance by identifying individual developmental needs and meeting scholarly purposes of institutions.

The implementation of appraisal schemes during this trial period, however, was reported to be unsuccessful, as not meeting the proposed assumptions of developmental purposes for academic staff (Lonsdale, 1998; Morris, et al., 2007). Lonsdale (1998) considered the failure of the appraisal schemes to be due to dramatic changes at the time, including growing competition among existing and new local and international providers in higher education, and government demands for institutional flexibility, diversity, and efficiency. These new challenges required universities to reconsider their conventional management practices and adopt a more business-oriented model for staff performance management. These views were supported by Morris et al. (2007), who analysed the findings of the Higher Education Management Review and the Review of Higher Education Financing and Policy. According to Morris et al., universities needed a new strategic approach to enhance staff productivity and institutional effectiveness. In a similar vein, Lonsdale (1998) acknowledged the issues of staffing resources, staff motivation, reward systems, and staff appraisal as fundamental factors for increasing staff productivity and institutional quality.

In a study conducted at the University of Melbourne after the appraisal scheme's second year of implementation, James (1995a) pointed to the uncertainty among staff about the intentions of the developmental appraisal scheme. Lack of clarity and confusion of purposes had adverse influence on the developmental initiative. The findings also raised questions about the effectiveness of nation-wide academic staff appraisal schemes during a period of restructuring, resource constraints, and greater accountability.

The third generation, initiated from the recommendation of the Hoare Report (cited in Lonsdale, 1998), introduced a comprehensive approach to performance management for both academic and general staff (Lonsdale, 1998). The key principles for conducting performance management stated in the Report were reviewed by Lonsdale (1998), and later paraphrased by Morris et al. (2007) as identifying a clear relationship between the performance of academics and the strategic direction of the department, school or faculty, or the university, providing appraisal feedback, identifying developmental needs, and generating data for administrative decisions.

Lonsdale (1998), through his review of contemporary writings about institutional management and leadership for change in the twenty-first century, considered the third generation approaches to performance management just the "half way" as performance management not only focused on "directing and reviewing staff" but also "creating the conditions under which others can best work" (Lonsdale, 1996 cited in Lonsdale, 1998, p. 311).

The fourth generation of performance appraisal, "the other half way", continued the third generation, in that it considered staff performance appraisal should take account of conditions to motivate academic staff to gain optimal performance rather than simply monitoring and reviewing their performance (Lonsdale, 1998). The role

of administrators at different levels within universities was significantly addressed as not being about management of performance, but necessarily about management for performance by facilitating, encouraging, and providing the staff with appropriate rewards and incentives (Lonsdale, 1998). Through successive generations of development, performance appraisal practices have been expected not only to focus on “regular review and planning”, but also continuously to provide “dialogue, feedback, goal-setting, support and problem-solving” (Lonsdale, 1998, p. 316). Lonsdale (1998) emphasised the need of management for quality from which some characteristics should be considered: the establishment of a trusting and cooperative environment, an emphasis on providing constructive feedback, and the clarity of purposes and of individual roles and responsibilities.

Lonsdale (1998) and other researchers (James, 1995a; Morris, 2006) provided an overall picture of the history of performance appraisal in Australian universities for the past few decades. Under the pressure of managerialism, Australian universities generally have reoriented their traditional performance management practices to be more closely aligned to corporate managerial practices (Reid, 2009; White, Carvalho, & Riordan, 2011). A new approach to implement performance appraisal, as suggested by Lonsdale, requires a clarification of the roles and responsibilities of academic staff as they are crucial for appraisal criteria development. In a similar vein, Hort (1988), in her paper reviewing key principles for formal appraisal schemes which had been successfully applied in US universities, addressed the need to establish standard criteria of performance appraisal based on an individual’s abilities, job goals and responsibilities, and career stage.

2.7.3.1. Australian academic roles

A study by Blackmore and Blackwell (2003) and another by Lyons and Ingersoll (2010) reported negative influences on Australian universities’ working environments, including increasing workload, work stress and job dissatisfaction,

and tension between teaching and research. The traditional main functions of academic staff generally are research, teaching, and service (Bentley & Kyvik, 2012; Hemmings, et al., 2012). However, in a review of the literature dealing with academic work, Hemmings and other researchers (2012) noted that service is not always part of academics' work, generally due to career planning and time management. The focus of the current study is on academics' self-efficacy for research and teaching in relation to performance appraisal.

Generally, junior lecturers or early career academics undertake the majority of teaching, and senior staff are responsible for more research and management responsibilities (Hemmings & Hill, 2009), although increasingly there are research only positions at all levels (Adams, 1998; McInnis, 2000; Stavretis, 2007). According to Moses (1988), the purpose of research performance appraisal generally is for promotion or for research grants, and teaching appraisal is for tenure and promotion decisions. A case study (Moses, 1988), which was conducted with over a hundred academic staff members at the University of Queensland, revealed that it was common in many universities that performance appraisals were based on research achievements through self and peer appraisals for internal research grants or applications for professional programs. However, some studies (Brew, 2010; Hattie & Marsh, 1996) which examined different factors affecting academics' growth and development reported an increasing tension between teaching and research workload in Australian universities.

ÅKerlind (2005), in his phenomenographic research, interviewed a group of academics at a research intensive university in Australia. The findings revealed that most academics believed promotion and tenure decisions were determined on research output rather than teaching quality. In addition, research-oriented academics with high productivity were found to gain more satisfaction with their work than teaching-oriented ones. These views reinforced a study by Swinnerton-

Dyer (1991), who examined possible differences between teaching and research in British universities. According to Swinnerton-Dyer, because research assessment generally was based on published output, measuring academics' research performance generally was simpler than evaluating teaching excellence. McInnis (2000), in his national survey of academics in Australian universities to understand how changing work practices affected the quality of teaching, indicated a trend that more young academics preferred to spend time conducting research. The imbalance between teaching and research has raised widespread concerns about the quality of academics' work and performance management related issues (Blackmore & Blackwell, 2003; Blackmore & Fraser, 2003; Lyons & Ingersoll, 2010).

2.7.3.2. Performance appraisal procedures

The procedures for formal academic performance appraisals in Australian universities have been examined in a number of reviews. Paget et al. (1992), in a report, indicated a need for implementing formal appraisal schemes in all higher education institutions due to legislative requirements. The report, however, found considerable variation in performance reviews as purposes and procedures were not clearly identified. According to the Hudson Report (1986, cited in Hort, 1988, p. 77), higher education institutions were recommended to introduce "a system of regular assessments of performance for individual academics to review achievements in the immediate past and determine areas of activity and objectives in the near future". The report, however, did not specify guidelines on how the process should take place.

Hort (1988), in her review discussing principles for the development of staff appraisal procedures, addressed the need for multiple sources of information for appraisal involving the participation of department heads or deans, colleagues, peers from external institutions, and students. This view is shared by Moses (1988, pp. 279-280), who, in a case study of university staff performance appraisal, discussed

aspects of the performance appraisal procedure through the five questions “why conduct a review?”, “who should evaluate?”, “what should be evaluated?”, “how is the review to be carried out?”, and “what happens after the review?”. According to Moses (1988), self-appraisal and peer review were common in either informal or formal performance appraisal processes. Informal appraisals generally were applied through discussion with students and colleagues about teaching experiences, or in staff development activities such as seminars, and workshops. Formal appraisals generally were annual performance reviews based on established criteria, using a standard format.

The procedures of conducting academic performance appraisal may vary considerably between universities, because under the condition of University Enterprise Bargaining Agreements (EBAs) introduced to Australian universities in 1996, individual universities have followed a flexible system to introduce and implement their own form of appraisal schemes (Morris, 2006).

2.7.4. Performance appraisal in Vietnamese universities

Despite increasing attention paid to quality management in higher education as a response to the requirement of accountability and autonomy (Evans & Rorris, 2010; Vallely & Wilkinson, 2008), there has been very limited published empirical research related to academic performance appraisal practices. Discussions in existing literature, which mostly are from domestic online newspapers or institutional documents, have raised mainly concerns about the necessity of improving academic appraisal schemes (Tran, 2006), irrelevant appraisal criteria in performance appraisal systems (Nguyen, 2008; Vu, 2010), relationships of appraisal policies with academics’ work motivation (Nguyen, 2000, 2001), and the use of students’ evaluations in academic performance appraisal (Nguyen & McInnis, 2002).

Tran (2006), in his paper studying performance appraisal in Vietnamese universities, addressed the importance of performance management practices as a response to political and socio-economic changes in Vietnam. Tran pointed out some shortcomings of what was then the current system of performance appraisal. For example, its purpose was mostly summative; appraisals generally were opinion-based; appraisal criteria were not fully based on staff's responsibilities, but partly on some non-performance indicators such as political viewpoints, and appraisal results generally relied on appraisees' relationships with appraisers. In a similar vein, Nguyen (2008), in her comprehensive review of performance appraisal in Vietnamese universities expressed concerns about the lack of appraisal criteria and suggested developing specific indicators of performance. These reviews and some others (Le, 2008; Vu, 2010), although limited to domestic publications and usually written in Vietnamese, pointed out problems, including limited purposes, general appraisal criteria, insufficient information for appraisal, and lack of fairness in appraisal decisions.

In most Vietnamese universities, performance appraisal of academic staff has been controlled by the Ministry of Education and Training (MOET, 1998). Historically, universities applied similar standards and criteria set by MOET for their performance appraisal system (Hayden & Lam, 2010). However, since 2005, after the adoption of the revised Law on Education (Pham, 2011), higher education institutions have had more autonomy in their management practices (Evans & Rorris, 2010; Hayden & Pham, 2007; Vallely & Wilkinson, 2008). Most Vietnamese universities have used several government documents such as "Decree No. 11/1998/QĐ-TCCP-CCVC" issued in November 1998 and "Decree No. 121/2005/NĐ-CP" issued on 30 September 2005, and "Circular No. 21/2008/TT-BGDĐT" issued on 22 April 2008 to develop their performance appraisal schemes for academic and non-academic staff. Under MOET's common guidelines,

universities can establish their specific job specifications and appraisal criteria (MOET, 1998; Tran, 2006).

2.7.4.1. Vietnamese academic roles

Vietnamese universities' academic workforce has undergone dramatic changes due to the influence of marketisation on higher education development during the era of globalisation (London, 2010; T. K. Q. Nguyen, 2011). Under the recent pressure of rapid expansion, most universities have faced serious shortages of qualified academic staff (Hayden & Lam, 2010). Hayden and Lam reported a relatively high ratio of students to lecturer of about 30:1 in many universities. In addition, variations in the quality of academic staff across universities, especially across regions have been an ever-increasing concern in many Vietnamese universities (Hayden & Lam, 2010; Pham, 2010). Table 2.1 shows a range in academics' qualifications and ranks in a regional university in the south of the country (CTU, 2012).

Table 2.1

Academic Qualifications and Ranks of a Regional University's Academic Staff

Qualification and rank	Number of academic staff
Professor	3
Associate professor	59
Senior lecturer with doctoral degree	81
Lecturer with doctoral degree	69
Senior lecturer with master degree	158
Lecturer with master degree	502
Lecturer with bachelor degree	318
Total	1190

Note. Adapted from Cantho University's statistics, 2nd Quarterly Report of 2012.

According to MOET's (2012) statistics, in the academic year 2011, of 50,951 academic staff in universities, fewer than 14.5% (7,338) were holders of doctorates,

and nearly 40% (20,059) only had Bachelor degrees. Less than five percent of university academic staff were professors and associate professors. This relatively low proportion of senior academics has been a big obstacle for effective work in many universities (V. T. Nguyen, 2011). In addition, the academic appointment procedures implemented in most Vietnamese universities have been addressed as a concern of academic staff quality. For example, a Bachelor degree satisfies appointment requirements for the level of lecturers, and lecturers, with Master degrees and the required years of experience, may meet the condition of appointment for senior lecturer positions (Ho, 2012; V. T. Nguyen, 2011).

Nguyen (2011), in his book examining the quality of Vietnamese higher education in the era of globalisation, reported even greater scarcity of well-qualified academic staff with only about one-third of professors and associate professors working at higher education institutions, whereas the other two-thirds were government officers, who hardly participated in research or teaching activities.

In discussion about academic performance quality, several recent studies (Harman & Le, 2010; Pham, 2010) have pointed to increasing tension between teaching and research. In most universities, the main academic responsibility has been teaching. There are several reasons for this situation. As a result of the traditional model of university development derived from the former USSR, research has been conducted mainly in research institutes, whereas higher education institutions have emphasised teaching as their main activity. Limited resources and lack of research capacity are also obstacles for academics engaging in research activities (Harman & Le, 2010). Nguyen (2011), in a book chapter analysing weaknesses of research situations in Vietnamese universities, indicated complicated procedures and inadequate criteria of academic appointments to be obstacles for academics to participate in research activities. For example, publication productivity has not been encouraged. Educators and government policy makers have also suggested the main academics' income

was from teaching activities rather than research (News, 2010; Uyen, 2011). As stated in a 2010 report by MOET (Ho, 2010), approximately 28.4% of university academics engaged in research activities.

With a rapid expansion of higher education throughout Vietnam in recent years, and a serious shortage of able academic staff, teaching responsibility has been prioritised in academic workload assignment by university management (Pham, 2010). Guided by official documents by MOET (2008, 2011), most universities recently issued regulations for academics' workload management. The workload generally increases according to academic rank, namely assistant lecturer, lecturer, senior lecturer, associate professor, and professor. Table 2.2 shows an annual workload assignment implemented for academic staff in a public university (CTU, 2010). The academic responsibilities generally involve lesson planning, class teaching and assessment, syllabus design and textbook publication, and participation in research projects.

Table 2.2

Annual Academic Workload Assignment for Academic Staff

Academic rank	Teaching (period*)	Research (period)	Total (period)
Professor	340	170	510
Assistant professor	320	140	460
Senior lecturer (salary level ≥ 5.76)	310	130	440
Senior lecturer (salary level: 4.40 - 5.42) or lecturer with doctoral degree	300	120	420
Lecturer (salary level ≥ 4.32)	280	100	380
Lecturer (salary level: 3.33 - 3.99) or lecturer with master degree	250	80	330
Lecturer (salary level: 2.34 - 3.00)	220	60	280
Assistant lecturer	50	10	60

Note. Adapted from Cantho University's Personnel Department Report, 2012.

*A period is 45 minutes.

As currently applied in most universities, teaching workloads are heavier than research workloads (Hayden & Lam, 2010), and in many universities, academics are responsible for only teaching (Ho, 2010).

2.7.4.2. Performance appraisal procedures

In most Vietnamese universities, academics' performance is generally appraised each semester at two levels: the departmental or school level, and the university level (CTU, 2009). Based on the regulations of academic performance management issued by the MOET (1998), individual universities may develop their own appraisal criteria, policies of promotion, and professional development, but the appraisal procedures typically are similar across universities (Nguyen, 2001). For example, as currently implemented in one university, there are several steps in an annual performance appraisal process (CTU, 2009). At the beginning of the academic year, each department or school holds a meeting in which lecturers propose their work plans. The dean or supervisor then reviews the staff's plans, and may make some adjustments, based on the assigned workload for the whole department or school. At the end of semesters, lecturers first complete a self-appraisal report in which they rate their level of academic performance according to four levels: unsatisfactory, average, good and excellent. Then, at a performance appraisal meeting with colleagues within their discipline, lecturers report the results of their work to all members in the discipline. Lecturers then receive their colleagues' comments and recommendations, indicating strengths and weaknesses of their performances. Later, the results are submitted to the department's or school's appraisal committee, generally consisting of the head of department, labour union representative, youth union representative, and communist party division representative. The performance appraisal committee reviews the results, and makes the final decision for academic performance appraisal. Feedback is communicated to individual staff members before the final results are submitted to the university's personnel department for subsequent promotion and appointment processes (Nguyen, 2001).

Pham (2010), through analysing the possibility of the implementation of proposed objectives for Vietnamese higher education development until 2020, pointed to a lack of well-defined performance indicators, and lack of policies for encouraging academics' teaching and research, as the prime weakness of existing performance appraisal schemes. Pham addressed a need for a transparent system of performance appraisal, possibly with external, qualified appraisers, to ensure quality and enhance the effectiveness of the process.

2.8. The conceptual framework

2.8.1. Definition of key terms

The following terms are used in the current study, and are defined from the relevant literature.

Individualism is defined as “a social pattern that consists of loosely linked individuals who view themselves as independent of collectives” (Triandis, 1995, p. 2).

Collectivism is defined as “a social pattern consisting of closely linked individuals who see themselves as parts of one or more collectives” (Triandis, 1995, p. 2).

Idiocentrism refers to the individual orientation that reflects individualistic values (Triandis, et al., 1985).

Allocentrism refers to the individual orientation that reflects collectivistic values (Triandis, et al., 1985).

Self-efficacy refers to individuals' beliefs in their capabilities to successfully carry out a particular task (Bandura, 1986, 1997).

Teaching self-efficacy refers to academics' beliefs in their capabilities to successfully carry out teaching tasks (Klassen et al., 2009; Morris & Usher, 2010).

Research self-efficacy refers to academics' beliefs in their capabilities to successfully carry out research tasks (Forester, Kahn, & Hesson-McInnis, 2004; Hemmings & Kay, 2010).

Performance appraisal self-efficacy refers to academics' beliefs in their capabilities to successfully perform appraisal tasks (Bandura, 1997; Bernardin & Villanova, 2005).

Trust in performance appraisal refers to a willingness of appraisees to be vulnerable to appraisers, on the basis of perceived accuracy and fairness of performance appraisal (Mayer & Davis, 1999).

2.8.2. The conceptual framework

The conceptual framework for the present study is informed by self-efficacy theory (Bandura, 1986, 1997) and cultural orientations at the individual level (Triandis, et al., 1985) as discussed in the earlier sections. Figure 2.2 schematically presents the conceptual framework for investigating hypothesised relationships.

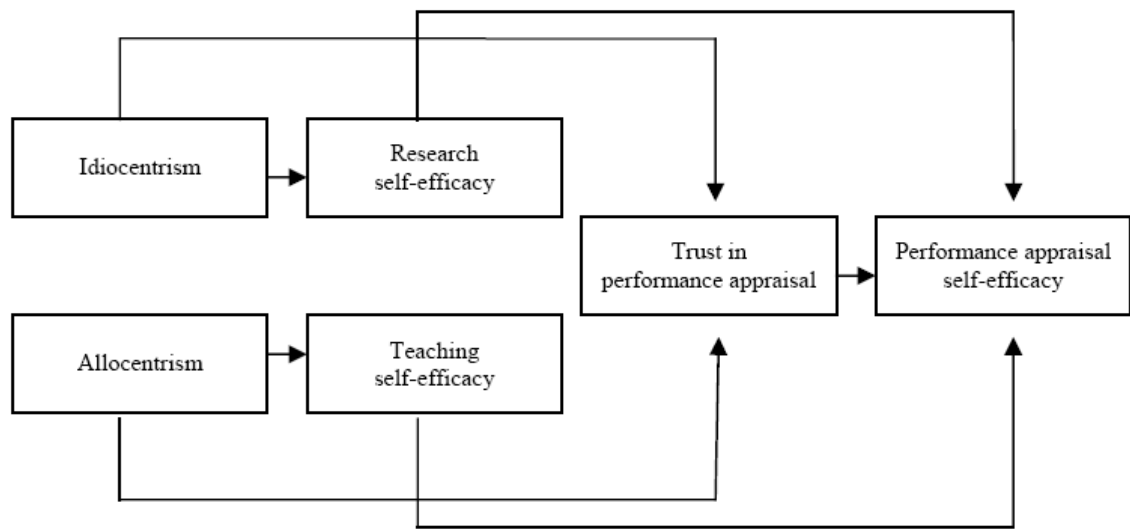


Figure 2.2 Schematic representation of the conceptual framework.

Overall, it is proposed that idiocentrism positively predicts research self-efficacy, and negatively predicts trust in performance appraisal; allocentrism positively predicts teaching self-efficacy and trust in performance appraisal. Research self-efficacy and teaching self-efficacy are proposed to predict positively performance appraisal self-efficacy, and trust in performance appraisal is proposed to predict positively performance appraisal self-efficacy. Arguments for these relationships accompany hypotheses that follow.

2.9. Hypotheses

Idiocentrics, who generally tend to emphasise self-interest, self-directness, autonomy and creativity (Lam, et al., 2002; Triandis, et al., 1985), may generally be expected to strengthen beliefs in their capabilities to carry out research tasks successfully. Research work is complex and long-term (Bailey, 1999), which generally requires researchers to have high levels of individual involvement, even in team research (Bieschke, et al., 1996; Forester, et al., 2004), innovation and

creativity (Zhao, et al., 2008). Hence, idiocentrics, who tend to prioritise personal achievement and emphasise individual initiative, arguably are likely to enhance self-efficacy for research activities. The following hypothesis is proposed for investigation.

Hypothesis 1: Idiocentrism will be related positively to research self-efficacy.

It is generally argued that allocentrics, who are concerned with collective goals, group harmony, equality, and cooperation (Triandis, et al., 1985; Zhao, et al., 2008), may be expected to have relatively high self-efficacy for teaching as teaching generally is related to working with groups (Erdem & Demirel, 2007; Ho & Hau, 2004). Several researchers (Bailey, 1999; Caprara, et al., 2006; Klassen, et al., 2009; Klassen & Chiu, 2010) have consistently suggested that self-efficacious teachers are likely to have collaborative relationships with students, take responsibility for students, and effectively foster students' involvement in class activities. So, the following hypothesis is posited.

Hypothesis 2: Allocentrism will be related positively to teaching self-efficacy.

Although several studies (Yamagishi, Cook, & Watabe, 1998; Yamagishi & Yamagishi, 1994) have found differences in levels of trust in different cultural settings, generally, trust is arguably higher in collectivistic than in individualistic societies (Chen, Chen, & Meindl, 1998). Idiocentric characteristics, such as being concerned about individual identity and being independent generally may not encourage tight relationships (Casimir, Waldman, Bartram, & Yang, 2006; Varela, Salgado, & Lasio, 2010), particularly in competitive environments, including workplaces; trust generally may not develop readily for idiocentric academics in their work settings. On the other hand, allocentrics, being concerned about group identification and being interdependent, may be expected to promote relationships in

in-groups; trust generally may develop readily for allocentric academics in their work settings. The following hypotheses are proposed.

Hypothesis 3: Idiocentrism will be related negatively to trust in performance appraisal.

Hypothesis 4: Allocentrism will be related positively to trust in performance appraisal.

Several studies (Bernardin & Villanova, 2005; Brutus, Fletcher, & Baldry, 2009) found that individuals who are self-efficacious for performance appraisal are likely to emphasise accuracy of their performance appraisal, be direct in communication, and diminish personal bias in interrelationships. Although these studies focused on appraisal from appraisers' perspective, the results may suggest that academics who are self-efficacious for performance appraisal may be expected to successfully perform appraisal tasks in a fair manner. In addition, other studies (Cooke & Crossman, 2004; Thurston & McNall, 2010; Vasset, Marnburg, & Furunes, 2010) indicated that participants' attitudes towards performance appraisal may be affected positively when they perceive the process to be fair and trustworthy. Arguably, self-efficacy for performance appraisal is likely to be mediated by trust mutually created by appraisers and appraisees (Reinke, 2003). Based on the arguments above, hypothesis 5 is posited.

Hypothesis 5: Trust in performance appraisal will be related positively to performance appraisal self-efficacy.

Academics who have high self-efficacy for research may be expected to set appropriately realistic performance goals and exert effort to achieve them successfully (Appelbaum & Hare, 1996; Hemmings & Kay, 2010a; Landino & Owen, 1988). Consequently, those who are self-efficacious for research may be expected to strengthen beliefs in their capabilities to provide evidence of their research achievements, explain reasons for their appraisal ratings, and communicate

appraisal feedback, that is, self-efficacy for performance appraisal. The following hypothesis is proposed.

Hypothesis 6: Research self-efficacy will be related positively to performance appraisal self-efficacy.

A similar argument can be applied to academics with high self-efficacy for teaching, because research and teaching are primary components of academic responsibilities, and these activities generally may be mutually reinforcing (Brew, 2010). Academics with high self-efficacy for teaching are likely to gain teaching achievements (Hemmings, et al., 2012; Landino & Owen, 1988), and arguably are expected to strengthen beliefs in their capabilities to provide evidence of their teaching achievements for performance appraisal. The following hypothesis is posited.

Hypothesis 7: Teaching self-efficacy will be related positively to performance appraisal self-efficacy.

2.10. Research questions

In addition to the proposed hypotheses, the present study also aims to answer the following questions:

1. How are academics' demographic characteristics: gender, age, academic qualification and academic rank, associated with their self-efficacy for research, self-efficacy for teaching, and self-efficacy for performance appraisal?
2. Are there statistically significant interactions between the variables in the conceptual framework?

The posited hypotheses and research questions are primarily tested with quantitative research methods.

2.11. Chapter summary

This chapter reviewed relevant literature of self-efficacy theory, cultural orientations at the individual level, and universities' performance appraisal procedures. The conceptual framework was developed, and hypotheses and research questions were proposed. In the following chapter, methodological issues such as sampling and instruments are presented and quantitative and qualitative methodologies are discussed.

CHAPTER THREE – METHODOLOGY

3.1. Introduction

This chapter provides an outline of methodological issues related to the study. First, research design is discussed. Second, survey research and important issues including sampling, instrument development, reliability, and validity are explained. Third, considerations of a cross-cultural approach are examined. Finally, quantitative and qualitative methodologies are described.

3.2. Research design

Although extensively defined and distinguished in different ways in the literature (Cohen, Manion, & Morrison, 2007; Creswell, 2008; Punch, 2009), the term “research design” basically refers to the overall research plan addressing major components: research strategy, conceptual framework, and tools used for collecting and analysing data (Punch, 2009). The design determines whether the research employs a qualitative, quantitative, or a mixed approach; the conceptual framework generally determines which methodologies are appropriate. While quantitative research generally has well-developed pre-specified frameworks showing variables and their relationships to each other, qualitative research may proceed without a framework, or a framework may emerge during the research development (Punch, 2009). The tools and relevant procedures for collecting and analysing data generally are differently employed in qualitative and quantitative research.

The present study is driven by a non-experimental survey research design, with a pre-specified conceptual framework based on the relevant literature review, primarily employing quantitative methods for collecting and analysing data.

3.3. Survey research

Broadly conceptualised, non-experimental research is distinguished from experimental research by the degree of control that the researcher has over the participants and the conditions of the research. Although evidence gathered in non-experimental research generally is limited and weaker than that gathered in experimental research, as there is no control over context, non-experimental research is appropriate in the present study as its aim is to investigate relationships between variables addressed in the conceptual framework.

Surveys have grown in popularity as a tool to collect data from a sample of people and describe the sample in terms of proportion or percentages of participants responding to survey questionnaires (Fowler, 2009; Punch, 2009). This kind of descriptive survey is commonly utilised in market and political studies. In educational research contexts, in addition to descriptive surveys, correlational surveys are commonly used to study relationships between variables (Punch, 2009). In this sort of non-experimental research design, relationships between variables can be inferred, but there is not any direct intervention, or manipulation of variables, as in experimental research.

Cross-sectional and longitudinal surveys are two conventional types of surveys. The former is used to collect data at one point in time, and the latter is used to collect data over time (Check & Schutt, 2012). A cross-sectional survey using a self-administered questionnaire is employed in the present study. This design requires a relatively brief time for administering and collecting data, and is appropriate for comparing two or more educational groups in terms of attitudes, beliefs, opinions, or practices (Creswell, 2008).

Although there are limitations of in-depth investigation (Dillman, Smyth, & Christian, 2009), and there are common concerns of sampling errors and response

rates (Fink, 2009; Fowler, 2009), the effects of which can be reduced by appropriate methods during survey administration and data analysis (Kanso, 2000; Scholle & Pincus, 2003), survey research arguably is advantageous for its efficiency and generalisability (McMillan, 2004). E-mail or web-based surveys can be efficient in large-scale research across geographical areas, and in studies administered to a large number of participants (McMillan, 2004; Sue & Ritter, 2007). Generalisability is considered an important quality of survey research because sampling can render results that can lead to fairly accurate generalised conclusions about the population (Creswell, 2008; McMillan, 2004).

3.4. Cross-cultural research

The term “cross-cultural research” refers to a compilation of research and practices conducted across cultural groups. In discussion on concepts in cross-cultural research, Van de Vijver and Leung (1997) identified two dimensions of cultural studies. The first dimension is applied for exploratory and hypothesis-driven studies, while the second is related to the use of context variables to explain cultural similarities or differences. In a recent article discussing various paradigms in cross-cultural management research, Primecz, Romani, and Sackmann (2009) discussed three dominant streams of cross-cultural research: cross-national comparison, intercultural interaction and multiple culture studies. A cross-national comparison study investigates the variation of values across nations, such as the seminal work conducted by Hofstede (1980). Intercultural interaction studies, generally carried out in bi-national settings, investigate processes and practices linked to culture within an organisational setting. Multiple culture studies generally investigate various cultural influences that exist simultaneously at different levels of analysis such as nation, industry, and organisation.

Cross-cultural studies are generally conducted from either an emic or etic approach. The emic approach is based on constructs developed within a culture, and examines data from a given culture; an etic approach, on the other hand, is based on universally developed constructs, and examines data from many cultures (Hunter, 2006; Triandis & Marin, 1983).

A growing body of researchers (Triandis, 1980; Triandis & Marin, 1983; Watkins, 2010) has discussed a “pseudoetic” approach as a combination of etic and emic approaches in cross-cultural research. Researchers start with concepts and instruments composed of items reflecting western conditions; the measures are then translated and applied in other cultures. The advantage of the combined method is that researchers, from a comparison of emic research in two or more cultures, can identify common aspects for which comparisons can be made.

3.4.1. Equivalence in cross-cultural research

Equivalence generally refers to comparability across cultures, and is a key concept in cross-cultural research (Van de Vijver, 2001). Although different forms or definitions of equivalence may be applied in different contexts (Ægisdóttir, Gerstein, & Çinarbas, 2007; Li, 2008), three types of equivalence: conceptual, linguistic, and metric generally are taken into consideration in cross-cultural studies.

Conceptual equivalence is attained if a concept is similarly conceptualised in different cultures. As certain concepts or constructs such as confidence, trust, and performance may vary in meaning across cultures, researchers should have in-depth knowledge of the cultures that are investigated (Ægisdóttir, et al., 2007; Li, 2008). The concepts under study should be accurately and relevantly translated from one language to the other to gain linguistic equivalence, which deals with “naturalness” of the items in the translated version (Van de Vijver & Poortinga, 1997). Linguistic equivalence is represented by appropriate wording of items. Van de Vijver and

Poortinga (1997) also indicated that poor translation or poor item formulation, such as complex wording, likely affects equivalence as an item's content may not be equally relevant or appropriate for the cultural groups being compared. Finally, metric equivalence refers to psychometric properties of the tool used to measure similar construct across cultures (Malpass & Poortinga, 1986). Equivalence in measurement may be threatened when the investigated cultural groups from the individualist-oriented and collectivist-oriented societies may differently respond to the subjective Likert-type scale answer formats (Ægisdóttir, et al., 2007; Heine, Lehman, Peng, & Greenholtz, 2002). Possible strategies validated in prior studies (Heine, et al., 2002; Meric & Wagner, 2006; Peng, Nisbett, & Wong, 1997) suggest providing relevant instructions, applying a force-choice method consisting of items with concrete, objective response options, and arranging the rating scales from low to high frequency, or vice versa, throughout the survey.

3.4.2. Translation techniques

Translation errors may threaten the validity of research as measures may convey different meanings (Brislin, 1970). The problem can be more challenging in cross-cultural studies when the items are borrowed and adapted from other cultures. In a review of cross-cultural translation, Sperber, Devellis, and Boehlecke (1994) identified linguistic shortcomings and semantic differences as causes of item misinterpretation, which may lead to erroneous research conclusions. Several translation and evaluation methods such as forward and backward translation have been applied extensively in cross-cultural research (Hambleton & Kanjee, 1995; Sperber, et al., 1994). The present study applied a mixed approach of existing translation methods such as forward and backward translation employing a combination of bilingual and monolingual translators to perform multiple translations (Bracken & Barona, 1991; Sperber, et al., 1994; Watkins, 2010).

3.5. Sampling

Sampling is the process of selecting a relatively small number of participants from the population in a way that the sample can accurately represent the larger population (Drew, Hardman, & Hosp, 2008).

Steps for selecting a sample typically involve defining the population to be studied and identifying the sample size and method of sampling (McMillan, 2004). Operationally defining the population is necessary for identifying appropriate participants and obtaining a representative sample (Drew, et al., 2008). Descriptive characteristics of the population are necessary to define a target population, or an entire group to be studied. In the current study, academic staff in Australian and Vietnamese universities who had participated in at least one performance appraisal cycle were the target population. Once the target population is specified, a sampling frame, which is a list of all participants in the intended population, can be obtained. From this list, a representative sample is selected using one of a number of sampling techniques (de Vaus, 2002; Drew, et al., 2008; Fowler, 2009). An advantage of using a sampling frame in survey research is that if certain participants are unreachable or ineligible during the survey administration, the sampling frame can be used for recruiting new participants (Creswell, 2008; de Vaus, 2002; Fowler, 2009).

Some common techniques of selecting samples are simple random sampling, systematic random sampling, stratified random sampling, and cluster random sampling. A common condition for these techniques is that any sample must be representative, which means selected participants from the population are not systematically excluded or biased (de Vaus, 2002). These methods of sampling are also known as probability sampling because the probability of selecting a sample from the population can be specified (Cohen, et al., 2007; Drew, et al., 2008; McMillan, 2004).

3.5.1. Simple random sampling

With simple random sampling, every individual of the population under study has an equal chance of being selected for the sample. Basic steps of simple random sampling involve obtaining a sampling frame, labelling participants, and randomly selecting the required sample size, using a set of random numbers (Cohen, et al., 2007; de Vaus, 2002; Drew, et al., 2008; Fink, 2009). Simple random sampling is appropriate when a complete list of participants of the target population can be obtained.

3.5.2. Systematic random sampling

As a modified form of simple random sampling, systematic random sampling involves systematically selecting potential participants from a defined sampling frame. From the sampling frame, the researcher randomly selects the starting number of the first participant, and then continues the selection process with a sampling interval. For example, a sample of 100 academics is selected from 300, a 1-in-3 ratio. A starting number between 1 and 3 is chosen randomly, and selection continues by taking every third participant from that starting number (Cohen, et al., 2007; de Vaus, 2002; Drew, et al., 2008; Fink, 2009).

3.5.3. Random cluster sampling

This method, sometimes known as stage sampling, is recommended to deal with large and varied populations. Random cluster sampling is similar to simple random sampling except that groups rather than individuals are assigned randomly (Cohen, et al., 2007; de Vaus, 2002; Drew, et al., 2008; Fink, 2009).

3.5.4. Stratified random sampling

This method usually involves proportions of subgroups in the sample matching proportions in the population. The population is stratified or divided into subgroups

(usually called strata), each of which contains potential participants with similar characteristics such as gender or age. Participants are then selected from each subgroup (stratum) using either simple random or systematic random sampling. The variable on which the population is divided is called the stratification variable. For example, in the case of dividing the population into males and females, gender is the stratification variable (Cohen, et al., 2007; de Vaus, 2002; Drew, et al., 2008; Fink, 2009).

3.6. Reliability and validity in survey research

Reliability and validity are two central concepts for demonstrating the rigour of research processes and the trustworthiness of research findings (Roberts, Priest, & Traynor, 2006). A reliable survey should provide consistent information, and a survey with validity should provide accurate information (Fowler, 2009; Punch, 2009).

3.6.1. Reliability

Reliability refers to the level of consistency of an instrument and the degree to which the same results are obtained when the instrument is used repeatedly with the same individuals or groups. The consistency may be determined by using the same measure twice (test-retest reliability), administering two equivalent forms of the measure (alternate forms reliability), or using a series of items designed to measure similar concepts (internal consistency). The underlying assumption of internal consistency is that when a concept is measured, items correlate with each other, so people who answer one item one way are likely to answer similar items in the same way (Bannigan & Watson, 2009; Ravid, 2005). For cross-sectional data, internal consistency is relevant and should be considered. There are several techniques for estimating internal consistency; however, as the instruments in this study consist of scales with different formats of item responses, the coefficient alpha (Cronbach's

alpha) procedure is appropriate (Ravid, 2005). A high alpha coefficient indicates high reliability and low error variance as these are reciprocally related (Punch, 2009). As a general rule, Cronbach alpha .70 is recommended, although in exploratory studies, a lower reliability coefficient can be acceptable (Hair, Black, Babin, & Anderson, 2010).

3.6.2. Validity

A survey has external validity if findings can be generalisable to a population, and internal validity, when the instruments can provide an accurate reflection of respondents' experiences (Fink, 2009; Hernon & Schwartz, 2009). Four common types of internal validity are: face, content, criterion, and construct (Check & Schutt, 2012). Face validity refers to the transparency of the scale, that is, the degree to which the purpose of the test is apparent to those taking it (Check & Schutt, 2012). Content validity is the extent to which items on the instrument and the scores from these items represent the content to be tested. Extensive reference to relevant theories of self-efficacy is necessary to establish the content validity for measuring items (Check & Schutt, 2012; Creswell, 2008). Additionally, a pilot study with people who are similar to the target participants to determine the questionnaire length and examine relevant wording and difficulty level of the items can help to increase the content validity (Fink, 2009). Criterion validity refers to the extent to which one measure estimates or predicts the values of another measure or quality. Construct validity generally is used when no clear criterion exists for validation. This type of measurement validity can be established by showing that "a measure is related to a variety of other measures as specified in a theory" (Check & Schutt, 2012, p. 82). In the current study, self-efficacy scales are supposed to be valid at least on the face and in the content (Bandura, 2006).

One easy and effective way to enable a survey to be reliable and valid, as suggested by Fink (2009), is to borrow or adopt existing scales, which have been shown to be

reliable and valid in prior studies. Some researchers (Amer, Ingels, & Mohammed, 2009), however, have contended that most borrowed scales or items are developed in western cultural settings, and these western-designed questions should not be imported unmodified to ensure equivalence in cross-cultural research.

3.7. Instrument development

Designing good survey instruments is a challenging and time-consuming process. Borrowing or modifying an existing instrument is generally recommended as the first consideration before developing a new instrument (Creswell, 2008; Fowler, 2009). Surveys typically take the form of self-administered questionnaires or interviews (Fink, 2009). Self-administered questionnaires can be completed by hand (paper and pen) or online (web-based or Internet).

Although commonly regarded as simple, quick and easily administered ways for generating and analysing data in non-experimental research (Drew, et al., 2008; McMillan, 2004; Salant & Dillman, 1994), effective questionnaires require careful preparation dealing with such issues as types of items, construction of items, response formats, response rate, and pilot testing (Bell, 1999; Burns, 1997; McBurney & White, 2010; McMillan, 2004; Salant & Dillman, 1994).

3.7.1. Types of items

There are two basic types of items commonly used: closed-ended and open-ended. Open-ended items permit respondents to provide answers in their own words, and closed-ended questions limit respondents to predetermined response options. Each type has advantages and disadvantages. Respondents generally spend more effort and time completing open-ended items. Open-ended items are more difficult for coding and analysis; the researcher needs to categorise the responses, which may take time and energy. It is suggested that open-ended items are more useful for

smaller studies with no more than 100 participants. On the other hand, closed-ended items require less effort to answer because participants are supplied with alternatives from which they choose; coding and analysing are simpler and more convenient, especially in large studies. The disadvantages of closed-ended items may be that the response options are not exhaustive and may not be appropriate for respondents (Creswell, 2008; McBurney & White, 2010).

3.7.2. Item construction

Items need to be clear and unambiguous so that each item should address a single concept and be capable of being answered by each respondent. Simple and direct language is generally necessary. There should be clear instructions for each section (Creswell, 2008; McBurney & White, 2010; Salant & Dillman, 1994).

3.7.3. Response formats

Common formats for responses in survey questionnaires include rating scales, checklists, and ranked items (McMillan, 2004). Likert-type scales generally are popular when attitudes, values, and interests are to be measured. The number of possible responses on a scale can vary, but there usually is a minimum of four options (McMillan, 2004).

3.7.4. Response rates

Survey researchers using questionnaires in the form of either mailed or electronic questionnaires may face the problem of low response return rates, which are usually between 10% and 50% (McBurney & White, 2010). According to several researchers (Dillman, et al., 2009), online surveys, a recently developed survey tool, may accept a response rate of approximately 30%. Addressing anonymity and confidentiality as well as eligibility criteria can improve the rate of participation. Reminders are also a good idea to encourage non-respondents to participate in the study (Fink, 2009).

3.8. Quantitative methods of analysing data

As variables are central in quantitative studies, methods and procedures for analysing data should be employed appropriately to inform the research problem addressed in the conceptual framework (Punch, 2009). There are two main strands developed in quantitative research involving relevant methods of analysing data. The first strand involves comparison between groups, usually based on experiment. The second, relevant to the present study, focuses on relationships between variables, which generally involves non-experimental designs, deals with correlational analysis and regression analysis, and possibly factor analysis for data reduction (Punch, 2009).

3.8.1. Correlational analysis

Correlation may be defined as the relationship or association between two or more variables (Creswell, 2008; Ravid, 2005). The Pearson product-moment correlation together with the scatterplot graphic technique is the most common method to identify and visualise the direction and strength of relationships between variables. When two variables are related, either positively or negatively, they vary together, or share common variance, which is represented by the correlation coefficient. It is important to note that the absolute value, not the positive or negative sign of the correlation coefficient, indicates the strength of the correlation. It is generally recommended that a correlation coefficient of .30 or greater is adequate for interpretation (Ravid, 2005). Another consideration is that correlation does not imply causal relationship (Allison, 1999; Hair, et al., 2010; Ravid, 2005).

While in simple correlations the two measures are administered to a single group of participants to identify their relationship, multiple correlations, based on the logic of simple correlations, deal with several variables, involving solving simultaneous equations. Simple correlations involve one dependent variable and one independent

variable, whereas multiple correlations involve one dependent variable and several independent variables (Hair, et al., 2010; Punch, 2009).

3.8.2. Factor analysis

Factor analysis refers to related techniques used to reduce a larger number of interrelated variables to a smaller set of factors so that relationships between factors can be understood and interpreted in subsequent analysis (Hair, et al., 2010; Punch, 2009).

3.8.2.1. Appropriateness of factor analysis

Sample size generally determines whether factor analysis is appropriate. A general rule is to have at least five times as many observations as the number of variables to be analysed. Preferably, factor analysis is recommended to be applied when the sample size is 100 or larger (Hair, et al., 2010).

The application of factor analysis is likely to be appropriate when the data matrix has a sufficient number of intercorrelations. Barlett's Test of Sphericity and Kaiser-Meyer-Olkin (KMO) Measure of Sampling Adequacy are common methods to determine whether factor solutions are appropriate. Conventionally, a statistically significant Barlett's Test of Sphericity (sig. <.05) indicates that there exist sufficient correlations among the variables to proceed factor solution. For Kaiser-Meyer-Olkin Measure of Sampling Adequacy, it is generally recommended that an overall KMO value should be above .50 before proceeding with factor analysis (Hair, et al., 2010).

3.8.2.2. Factor extraction and rotation methods

Two commonly used factor extraction methods are principal component analysis and principal axis factoring. Selecting an appropriate method for factor extraction depends on the knowledge of a variable's shared variance with other variables in that factor. The total variance can be divided into three types: common, specific and

error variance. Common variance of a variable is that shared with other variables in the analysis. Specific or unique variance is associated with only a specific variable. Error variance generally is variance of measurement error or the random component of measurement in the data-collecting process (Hair, et al., 2010). Principal component analysis examines full variance and does not discriminate between shared and unique variance, and is used to summarise the original variables in a minimum number of factors. Principal axis factoring, on the other hand, extracts only factors based on the common variance. Principal axis factoring is appropriate to identify underlying factors represented in the original variables.

Initial factor solutions or unrotated factor solutions are often difficult to interpret as variables may have high cross loadings. Factor rotation simplifies the factor structure and maximises interpretability of the derived factors (Hair, et al., 2010). Various rotation methods generally are classified as orthogonal (e.g., varimax, quartimax, and equimax) and oblique (e.g., direct oblimin and promax) methods. Varimax rotation is commonly used as it can give a clearer separation of the factors by making the large loadings larger and the small loadings smaller within each solution (Brown, 2009; Hair, et al., 2010).

3.8.2.3. Criteria for the number of factors in a solution

The question of how many factors should be in a factor analysis solution generally depends on predetermined criteria and empirical measures of the factor structure. Some common criteria for determining the number of factors are a priori criterion, latent root criterion, scree test criterion, factor loadings, and interpretability (Hair, et al., 2010). A priori criterion is reasonable and justified when the same number of factors are extracted in a previous study. The latent root criterion, also known as Kaiser's criterion, accepts factors with eigenvalues greater than one. The scree test criterion graphically indicates the number of factors to be retained where the curve begins to straighten out. The number of points above the break, not including the

point at which the curve occurs, is usually the maximum number of factors to retain. Factor loadings generally depend on the sample size, but a minimum cut-off of $\pm .30$ for factor loadings is generally recommended (Hair, et al., 2010). Interpretability is arguably the most important criterion for factor analysis as extracted factors that cannot be interpreted should be discarded from the analysis (Hair, et al., 2010).

3.8.2.4. Factor scores

After interpretable factors are derived from factor solutions, factor scores can be calculated using the items of the extracted factors. The factor scores are employed to represent the factor in subsequent statistical analyses such as correlation analysis or regression analysis (Hair, et al., 2010). Non-refined and refined are two common methods to compute factor scores (DiStefano, Zhu, & Mindrila, 2009). Non-refined methods, including total of scores by factor, total of scores above a cut-off value, and weighted (mean) scores, generally are simple to compute and easy to interpret. The weighted scores are created when the factor loading of each item is multiplied to the scaled score for each item before summing. One advantage of using weighted scores is that items with the highest loadings on the factor would have the largest effect on that factor score. Refined methods, such as regression scores, Barlett scores, and Anderson-Rubin scores, compute factor scores, use more complex and technical approaches than non-refined methods. Refined methods generally use standardised information to create factor scores (DiStefano, et al., 2009).

3.8.3. Multiple regression analysis

Simple regression deals with one dependent (criterion) variable and one independent (predictor) variable, whereas multiple regression deals with several independent variables and one dependent variable. Compared with univariate models, multiple regression provides advantages in simultaneously examining relationships between the dependent variable and a combination of independent variables. The major use

of multiple regression is to make predictions about the dependent variable, based on the observed values of the independent variables (Allison, 1999; Hair, et al., 2010).

Using multiple regression in survey analysis generally requires meeting two conditions. First, the variables must be specified as dependent or independent before any regression equation. The decision of whether a variable is dependent or independent can be based on the conceptual or theoretical foundation. Second, the quantitative data must be metric or appropriately transformed into dummy variables. A dummy variable is a dichotomous variable used to represent a categorical variable such as gender, academic qualification or academic rank of participants. As a general rule for dummy coding, the number of dummy variables is one fewer than the number of categorical variables being studied (Allison, 1999; Hair, et al., 2010). For example, gender, male and female, is transformed into one dummy variable.

Squared multiple correlation coefficients (R^2) and regression weights are two statistics generally reported in regression models. R^2 is a direct estimate of the amount of variation in the dependent variable explained by the set of independent variables in the regression model. The value of R^2 varies between 0 and 1. The closer R^2 is to 1.00, the more of the variance in the dependent variable is accounted for, and accordingly, the more accurate the predictions the model can make. However, a problem of generalisability may occur as R^2 always increases with the addition of independent variables, even if they are statistically non-significant. The adjusted coefficient of determination is a modification of R^2 that takes into account the number of independent variables included in the regression model and the sample size. Adjusted R^2 generally is useful for comparison between equations with different numbers of independent variables, differing sample sizes, or both (Hair, et al., 2010).

Regression weights estimate how each independent variable can predict the dependent variable. Of the two types of regression weights: unstandardised and standardised weights, the latter, generally known as beta (β), is used commonly. The larger the absolute value of the beta weight, the more influence this factor has in predicting the dependent variable (Hair, et al., 2010).

3.8.3.1. Regression estimation methods

Hierarchical and stepwise are two common multiple regression methods. In a hierarchical multiple regression model, independent variables are entered in a pre-determined order based on theoretical and logical considerations. Stepwise regression is used to maximise the prediction with the smallest number of variables (Hair, et al., 2010; Punch, 2009). The logic of stepwise regression is that the independent variable with the highest correlation with the dependent variable is included first. The other independent variables are then selected for inclusion in decreasing order based on their statistically significant contributions (Hair, et al., 2010).

3.8.3.2. Multicollinearity

Multicollinearity refers to correlations among independent variables in regression models. As multicollinearity increases, the unique variance explained by each independent variable decreases, and hence, the overall predictive power of independent variables accordingly decreases. Tolerance and the variance inflation factor are two common inter-related measures for assessing multicollinearity: (Hair, et al., 2010). Tolerance, as a direct measure of multicollinearity, is the amount of variance of an independent variable unexplained by the other independent variables. The tolerance value should be high, which means the degree of multicollinearity will be small. The variance inflation factor, which is simply the inverse of the tolerance value, is generally recommended to have a threshold value of 10. In case of

identified multicollinearity, it is suggested to remove one or more of the highly correlated independent variables (Hair, et al., 2010).

3.8.3.3. Analysis of interaction effects

In multiple regression analysis, the relationship between a single independent variable and the dependent variable can be affected by one of the other independent variables, called a moderator variable (Hair, et al., 2010; Jaccard, Turrisi, & Wan, 1990). For example, an interaction was found between age and occupation in prediction of income (Allison, 1999). Determining the significance of interaction effects is arguably as important as identifying main effects of independent variables, although in the literature, interaction effects generally have not been discussed as thoroughly as have differences among levels of main effects (Klockars & Sax, 1986).

For detecting possible two-way interaction effects, after the examination of the main effects of independent variables, forced entry of independent variables are used to replicate the original analyses, and then the two-way product terms are entered stepwise in the model (Hair, et al., 2010). It is a common procedure to investigate the meaning of interaction effects by using graphs to facilitate interpretation of relationships between variables (Allison, 1999; Klockars & Sax, 1986). Ordinal and disordinal are two common types of interaction effects. An ordinal interaction is usually graphed with nonparallel regression lines, but they do not intersect, whereas a disordinal interaction, also called a crossover interaction, is one in which the regression line for one group intersects with the regression line for the other group (Jaccard, et al., 1990). However, the distinction between ordinal and disordinal interactions is subject to the range of scores being studied in the regression model because there is always a point where the lines intersect in any pair of nonparallel lines.

3.8.4. Standardisation and discriminant analysis

3.8.4.1. Standardisation

In cross-cultural research, comparisons of samples generally require comparisons of response means (Fischer, 2004). However, researchers have addressed a common concern about response biases due to cultural influences (Culpepper & Zimmerman, 2006; Yamaguchi, et al., 1995). It is suggested that prior to conducting a statistical analysis involving cross-cultural comparisons, possible response biases need to be accounted for by a procedure called standardisation (Van de Vijver & Leung, 1997). According to Van de Vijver and Leung (1997), if scores are standardised by cultural group, cross-cultural differences in responses (means, standard deviations, or both) can be eliminated.

Standardisation refers to procedures that involve an adjustment of means and/or standard deviations of either individuals or groups. Within-person standardisation and double standardisation are two of the most commonly used standard procedures in cross-cultural studies (Fischer, 2004). The former refers to the adjustment of individual scores, using the mean and standard deviation in that the individual mean is subtracted from each individual's raw score, and then divided by the standard deviation. Double standardisation is a combination of within-person standardisation and within-culture standardisation. Scores are first adjusted within the individual, and then the resulting scores are adjusted within the group (Fischer, 2004). However, some researchers (Matsumoto, Weissman, Preston, Brown, & Kuperbusch, 1997) have argued that statistical results may be different when using standardised scores compared with unstandardised scores because cultural differences in average scores may not be exclusively due to response bias, but may reflect meaningful variation. In light of previous cross-cultural research, Fischer (2004) suggested that discriminant analysis can be employed with standardised data and unstandardised data, but theoretical justification or a rationale is necessary for interpretation of results.

3.8.4.2. Discriminant analysis

Discriminant analysis is a statistical technique appropriately used to study differences between two or more groups with respect to several variables simultaneously (Hair, et al., 2010). The groups can be people, countries, products, or animals. When there are two groups, a two-group discriminant analysis is applied. When three or more groups are involved, a multiple discriminant analysis is employed. Different from multiple regression analysis, which requires both dependent and independent variables to be metric, in discriminant analysis, the dependent variable is a categorical variable with two more categories or classifications, and independent variables are metric variables. In addition, while multiple regression analysis focuses on correlations, discriminant analysis emphasises group differences or profiles.

Interpretation and classification are two common purposes of discriminant analysis. For interpretation, groups can be examined and interpreted according to how they differ, or discriminate on a set of independent variables, which are called “discriminating variables”. Classification refers to procedures for classifying objects (individuals or products) into groups on the basis of their scores on a set of independent variables. In practice, discriminant analysis is generally used for both interpretation and classification (Hair, et al., 2010; Klecka, 1980).

Simultaneous and stepwise methods are two common estimation methods to derive the discriminant function (Hair, et al., 2010). The former involves the entry of all independent variables into the discriminant function, regardless of the discriminating power of each independent variable. On the other hand, stepwise estimation involves entering the independent variables into the discriminant function one at a time depending on their discriminating power (Hair, et al., 2010). Different statistical criteria such as Wilks’ lambda, Mahalanobis distance, and Rao’s V can be applicable to simultaneous and stepwise estimation methods. Wilks’ lambda, a

measure of discrimination, generally is recommended in simultaneous estimations. As it is an inverse statistic, a value of Wilks' lambda near 0.0 denotes high discrimination among the variables and that the group means or centroids are well-separated and distinct, while a score near 1.0 shows less discrimination because group centroids are nearly identical. The Mahalanobis distance and Rao's V measures are appropriate in stepwise estimations. As suggested by some researchers (Hair, et al., 2010; Klecka, 1980), the Mahalanobis D^2 , a measure of generalised distance, is the preferred procedure in stepwise process.

3.9. Qualitative analysis of free responses

The current study primarily employs quantitative methods for analysing data as described in earlier sections. The free responses in the survey are expected to supplement the quantitative data to some extent. When qualitative data can be written text, thematic analysis is appropriate (Guest, MacQueen, & Namey, 2012; Punch, 2009).

Coding and memoing generally are two basic components of analytical processes. Coding is a process of assigning labels or tags against pieces of the data. Coding can be descriptive, topical and analytical (Richards, 2005). Conventionally, descriptive coding is used to store information and for the purpose of data retrieval. This generally requires little or no inference beyond the piece of data. Topic coding is used to identify all data on specific topics, and analytic coding is used to identify and develop concepts, categories or themes.

Memoing is a process of recording ideas about the data as they occur during coding and analysis. Coding and memoing are not separated or sequential, but integrated throughout the data analysis (Punch, 2009; Richards, 2005). For thematic analysis,

theme interpretation generally is facilitated by using both embedded and long quotations (Creswell, 2007).

3.10. Chapter summary

This chapter discussed methodological issues explaining research design utilising non-experimental research survey based on the conceptual framework, which is developed based on the extensive literature review. The combination of etic and emic approaches is conducted in this cross-cultural study. The characteristics of survey research including sampling, instrument development, reliability and validity of research survey are presented. The results of statistical analyses of the Australian and Vietnamese sample are reported and discussed respectively in the following chapter.

CHAPTER FOUR – STATISTICAL ANALYSES

4.1. Introduction

This chapter reports the results of statistical analyses of the Australian and Vietnamese data. First, information on the Australian and Vietnamese methods including the study samples, development of the instruments, and the results of statistical analyses are reported, respectively. Second, some comparisons of the two samples are presented.

4.2. Australian study

4.2.1. Australian instruments

The survey questionnaire (see Appendix A), accessible on the SurveyMonkey website, consisted of a demographic information section and five other sections, each of which provided instructions and examples. The first section confirmed the anonymous and confidential nature of the survey, and explained the navigation links used in the survey.

4.2.1.1. Demographic information section

Section A elicited respondents' demographic characteristics, requesting information about gender, age, academic qualification, academic rank, academic responsibilities for research, teaching, and administration, years of experience and frequency of appraisal participation. The question types were a mixture of closed-ended and semi-open questions, which provided the respondents free alternatives of answers (Borg, Braun, & Baumgärtner, 2008).

4.2.1.2. Trust in performance appraisal scale

Section B consisted of nine items, developed from review of the relevant literature (Jawahar, 2007; Mayer & Davis, 1999). Five items referred to the performance appraisal process, for example, item 1 “Performance appraisal is conducted in a climate of cooperation”. Four items were related to appraisers, for example, item 2 “Appraiser(s)’ expectations for my work performance are clear during the performance process”. The two groups of items were mixed, and participants were asked to respond on a five-point Likert-type scale, ranging from 0 (*not agree at all*) to 4 (*completely agree*).

4.2.1.3. Idiocentrism and allocentrism scales

Section C comprised ten items adopted from Singelis’ (1994) Self-Construal Scale (SCS) and two from Hui’s (1988) Individualism and Collectivism Scale (INDCOL) to measure idiocentrism and allocentrism. There were 24 items in the original SCS scale and 11 in the original INDCOL scale (Hui, 1988; Singelis, 1994). Many of these items, however, were judged not appropriate in the academic context. For example, some items in the SCS scale, such as “Speaking up during a class is not a problem for me”, “I will stay in a group if they need me, even when I’m not happy with the group”, and “I value being in good health above everything”, were eliminated. Items in the INDCOL scale, such as “When I am among my colleagues, I do my own thing without minding about them”, and “I would help if a colleague at work told me that he/she needed money to pay utility bills” were also considered inappropriate. In addition, the wording of “It is important for me to maintain harmony within my group” was changed into “It is important for me to maintain harmony within my faculty/school” to fit the study’s context. Consistent with the suggestion by Hui and Candice (1994) and to fit with other sections in the questionnaire, participants responded to the idiocentrism and allocentrism scales on a 5-point Likert-type scale ranging from 0 (*not agree at all*) to 4 (*completely agree*).

4.2.1.4. Self-efficacy for research and teaching scale

Section D consisted of 25 items, asking respondents to report their level of self-efficacy for research and self-efficacy for teaching. Self-efficacy for research was measured by 14 items. Twelve items, originally developed by Zhao, McCormick and Hoekman (2008), were related to the difficulty or importance of research activities. The four items were related to higher order research activities, such as “Publish articles in international journals”. Eight items referred to lower order research activities, such as “Publish papers in domestic journals”. One item “Analyse research data” was borrowed from Li (2008) to measure academics’ beliefs in a common research activity. One item “Supervise undergraduate degree students” was added to the scale because it was believed to be a common research activity for Vietnamese academics. Self-efficacy for teaching was measured by 11 items, previously used by Li (2008). The section instruction was “For the following statements, please tick the percentage that best represents how confident you are that you can successfully carry out the stated activity. For example, if you are completely confident that you can carry out the activity successfully, tick 100%. If you do not have confidence that you can carry out the activity successfully, tick 0%. If your confidence lies somewhere between, please choose the percentage that most closely matches your confidence”.

4.2.1.5. Self-efficacy for performance appraisal scale

Section E, consisted of eight items, and was developed from a review of the relevant literature (Bernardin & Villanova, 2005; Dilts, et al., 1994). These items of performance appraisal self-efficacy were related to academics’ self-appraisal ratings, feedback and communication, and performance appraisal procedures. Items such as “Complete a self-appraisal report for your performance appraisal”, “Openly discuss performance appraisal feedback with an appraiser(s)”, and “Understand the criteria used in performance appraisal” were used. Participants responded on the same

continuous 11-point scale, ranging from 0% (*not at all confident*) to 100% (*completely confident*), described earlier.

4.2.1.6. Free responses

The last section of the questionnaire, Section F, was open-ended, and participants responded to “Please write any observations about your university’s performance appraisal that you think are relevant”.

4.2.2. Pilot testing

The pilot of the online questionnaire was administered to volunteer academic staff of the Faculty of Education, University of Wollongong after the university ethics application for the pilot study (see Appendix B) was approved. The data collected from this pilot study were not analysed because the small sample size was not appropriate, and because the main purpose of the pilot test was to determine the approximate length of time for the questionnaire completion, to ensure clarity of language, and to check technical matters related to web-based administration such as Internet browsers used on Mac or PC computers. The recruitment emails (see Appendix C), attached with the Participation Information Sheet (Appendix D), were distributed to the Faculty academics, who had academic titles, professor, associate professor, senior lecturer, and lecturer as did the intended target sample in the main study. A reminder email was sent to the academics six days after the first invitation email. Twenty-one of the 44 invited participants completed the questionnaire, and ten suggestions were provided regarding the length of time, the question format, and an additional statement of confidentiality and anonymity of the participants in the survey introduction. Several respondents suggested providing an operational definition for the term “performance appraisal” as “a formal performance review of a person’s work performance”.

4.2.3. Australian sample

The main study was conducted after the ethics application was approved (see Appendix E). Stratified random sampling was used for selecting participants with the aim of achieving approximately proportional representative groups. Three universities were randomly selected, using randomly generated numbers. When one selected university declined to participate in the study, a replacement was randomly selected. Faculties or schools of Social Sciences and Humanities, Sciences, and Education in the selected universities were used as sampling strata. Academics were identified from the universities' websites, and then randomly selected, using randomly generated numbers. Participants were required to have completed at least one performance appraisal cycle. Approximately 700 academics were approached to participate because it was anticipated that some would not satisfy the study selection criterion (see Appendix F).

The data were collected via online survey from 20th September to 27th December, 2011. Six hundred and ninety invitation emails (see Appendix F) were initially distributed to the selected academics. Due to incorrect email addresses, out-of-office replies, and some ineligible participants, who had not completed any performance appraisal reviews, 41 replacement emails were sent to randomly selected participants from the three selected universities. Follow-up emails (see Appendix G) were sent one week after the first invitation email distribution to remind participants to complete the questionnaire. Two hundred and sixty-three participants completed the questionnaires, yielding a response rate of 38.1%. Fourteen questionnaires were eliminated from the dataset due to extensive missing data. The final total usable sample size was 249.

4.2.4. Australian data analyses

4.2.4.1. Australian demographic information

The Australian sample consisted of 157 male and 91 female university academics. One participant did not report his or her gender. Age (in years) and years of working as a university academic ranged from 29 to 71 and from one to 42, respectively. The sample comprised 96 (38.6%) lecturers, 70 (28.1%) senior lecturers, 52 (20.9%) associate professors, and 30 (12.0%) professors. In this sample, 90.8% of the participants held Doctoral degrees, 6.4% Master degrees, and 0.4% Bachelor degrees; six respondents (2.4%) specified their academic (qualification) titles, such as MD, DSc, and DPsych Clinical. Academic responsibilities were classified into teaching (93.6%), research (95.2%), and administration (79.5%). Two hundred and twenty six respondents (90.8%) indicated that they completed a performance appraisal review annually, and five (2.0%) biannually; eighteen (7.2%) provided answers detailing different occasions of their participation in performance appraisal reviews, such as biennially. The analysis of descriptive statistics of the Australian data is presented in the following section.

4.2.4.2. Analysis of descriptive statistics of Australian sets of items

Four sets of items were developed for measuring trust in performance appraisal, idiocentrism and allocentrism, self-efficacy for research and teaching, and self-efficacy for performance appraisal (see previous Section 4.2.1).

4.2.4.2.1. Descriptive analysis of Australian trust in performance appraisal items

Means, standard deviations, and percentages of item responses are shown in Appendix H.1. Overall, Australian respondents reported relatively high agreement with positive items related to appraisal communication (items 8 and 9) and cooperative manner to conduct performance appraisal (item 1). Item 8, “I am open to performance appraisal feedback from the appraiser(s)”, had the highest mean

score, 3.22. Possibly, the Australian academics may have emphasised direct and open communication in performance appraisal. The results are somewhat in line with a study by Chiang and Birtch (2010), suggesting that performance appraisals in Western environments generally are used for communication development.

In general, the respondents reported relatively low agreement with items likely to be related to perceived fairness of performance appraisal. For example, 12.9% of the respondents indicated a lack of agreement on item 3, “I trust the performance appraisal process”, which had the lowest mean score, 1.98. Similarly, about 25% of the respondents scored low on items 4, “I rely on the appraiser’s performance appraisal ratings”, and item 5, “The performance appraisal process in my university is fair”. The results are not surprising and are in accord with some studies (James, 1995a; Rutherford, 1988), reporting academics’ negative views related to perceived fairness of performance appraisal.

4.2.4.2.2. Descriptive analysis of Australian idiocentrism and allocentrism items

Overall, the respondents indicated relatively high levels of agreement with both idiocentrism and allocentrism items (see Appendix H.2). Interestingly, approximately over 75% of the respondents scored high on most allocentrism items (3, 6, 7, and 11). Item 6, “I feel good when I cooperate with others”, had the highest mean score, 3.38. However, 32.5% of the respondents scored low on item 2, “Even when I strongly disagree with people, I avoid an argument”, which had the lowest mean score, 2.06. One explanation is that in Australian academic settings, direct communication and harmonious relationships generally are not in conflict in the context of performance appraisal.

Regarding idiocentrism items (1, 4, 5, 8, and 10), it is not surprising that the Australian respondents generally reported relatively high agreement with these items. For example, 84% of the respondents reported high agreement with item 4, “I

feel it is important for me to act as an independent person”, which had a relatively high mean score, 3.23. Generally, the mean scores for idiocentrism items were 2.5 or greater.

4.2.4.2.3. Descriptive analysis of research self-efficacy and teaching self-efficacy items

Means, standard deviations, and percentages of item responses are presented in Appendix H.3. Overall, the respondents generally scored high on self-efficacy items related to research (1, 4, 7, 8, 9, 10, 12, 16, 22, 24, and 25) and to teaching (2, 5, 6, 11, 13, 14, 17, 18, 20, 21, and 23). The mean scores for these items were at least 8.0. However, Item 3, “Publish academic books”, and item 19, “Publish textbooks”, had somewhat low mean scores, 6.88 and 5.96, respectively. The results may be explained in that the importance of publishing academic books may vary across disciplines in Australian university settings. Item 15, “Win research funds”, had a relative low mean score, 6.52. One explanation is that this type of research activity is somewhat difficult, and usually only achievable by higher ranked academics, who arguably have more research opportunities and recourses than early career academics (Dundar & Lewis, 1998; Hemmings & Kay, 2010b).

4.2.4.2.4. Descriptive analysis of performance appraisal self-efficacy items

Means, standard deviations, and percentages of item responses are shown in Appendix H.4. Overall, the respondents generally reported high levels of self-efficacy on items related to self-appraisal. Generally, item means were around 8.0. For example, item 1, “Complete a self-appraisal report for your performance appraisal”, had the highest mean score, 8.74, and item 7, “Explain reasons for assigning specific ratings in your self-appraisal”, had the mean score, 8.48. The results may suggest that the Australian respondents generally had strong beliefs in their capabilities to perform appraisal tasks.

Factor analyses of Australian scales of trust in performance appraisal, idiocentrism and allocentrism, self-efficacy for research and teaching, and self-efficacy for performance appraisal will be presented and discussed in the following sections.

4.2.4.3. Factor analysis of Australian trust in performance appraisal items

Principal axis factor analysis was employed, using SPSS. The same criteria for factor extraction were applied to all analyses: eigenvalues greater than one, scree test, item loadings $\pm .30$ or greater, and most importantly, interpretability. Varimax rotation was used to assist interpretation.

The Kaiser-Meyer-Olkin Measure of Sampling Adequacy (.91) and Bartlett's Test of Sphericity (1145.0, $p < .001$) suggested that factor analysis was appropriate for the data. The scree test suggested a one-factor structure (see Figure 4.1).

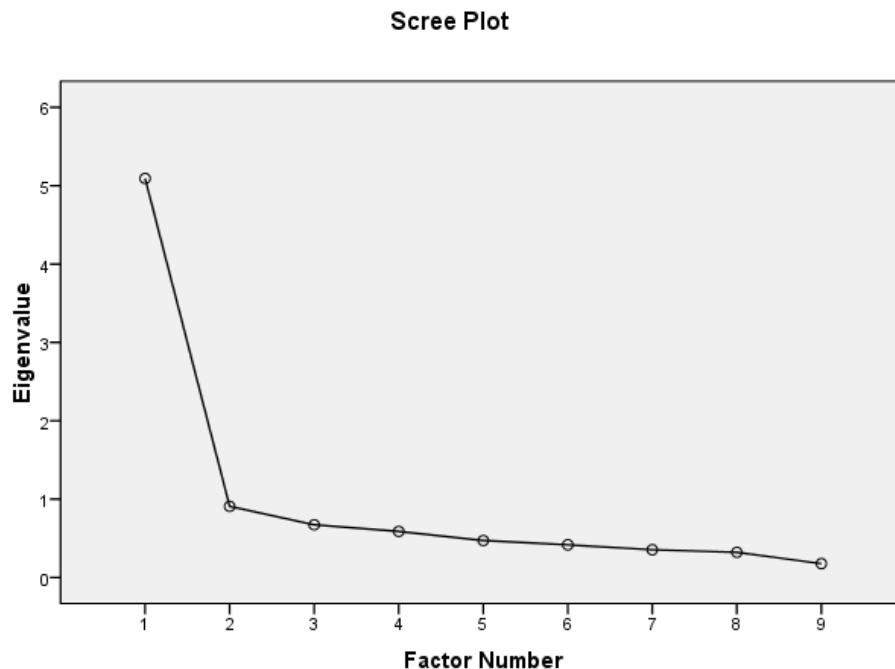


Figure 4.1 Scree plot for trust in performance appraisal items.

The eigenvalue was 5.09, explaining 56.59% of the variance. The factor was named *Trust in Appraisal* because it was the overarching theme. Table 4.1 shows the item loadings and reliability coefficient.

Table 4.1

Principal Axis Factor Solution for Australian Trust in Performance Appraisal Items

Trust in Appraisal ($\alpha = .90$)	
5. The performance appraisal process in my university is fair.	.84
3. I trust the performance appraisal process.	.84
2. Appraiser(s)'s expectations for my work performance are clear during the performance appraisal.	.81
1. Performance appraisal is conducted in a climate of cooperation.	.76
6. The performance appraisal process in my university is fair.	.75
7. How much effort I put into my job is important for my performance appraisal.	.69
9. I can discuss work-related problems, which might negatively affect my performance appraisal ratings, with the appraiser(s).	.64
4. I rely on the appraiser(s)'s performance appraisal ratings.	.57
8. I am open to performance appraisal feedback from the appraiser(s).	.47

4.2.4.4. Factor analysis of Australian idiocentrism and allocentrism items

4.2.4.4.1. First intermediate factor analysis of idiocentrism and allocentrism items

The Kaiser-Meyer-Olkin statistic (.73) and Bartlett's Test of Sphericity (438.9, $p < .001$) suggested that the data were appropriate for factor analysis. The scree test suggested four possible factors (see Figure 4.2).

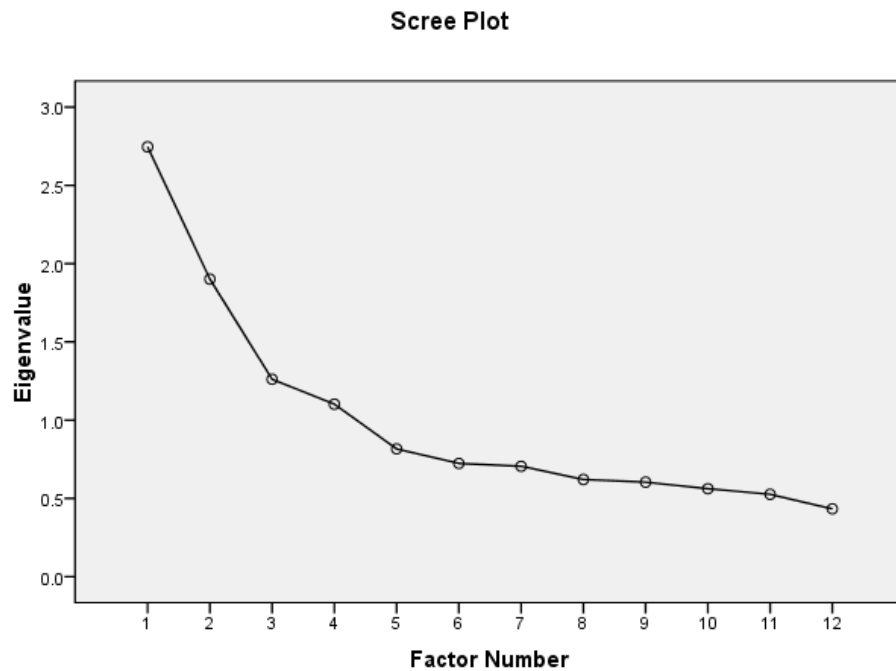


Figure 4.2 Scree plot for idiocentrism and allocentrism items.

Principal axis factoring of the twelve idiocentrism and allocentrism items with varimax rotation generated four possible factors (see Table 4.2). Factor 1 comprised three items related to independent views of self, for example, item 10, “My personal identity, independent of others, is very important to me” had the strongest loading. Consequently, interim factor 1 tentatively was named Independence.

Interim factor 2 was named Interdependence as four items that loaded on this factor reflected relationship-oriented values, for example, item 12, “Colleagues’ assistance is indispensable to good performance at work”, and item 9, “I often have the feeling that my relationships with others are more important than my own accomplishments”.

Table 4.2

First Intermediate Principal Axis Factor Analysis for Australian Idiocentrism and Allocentrism Items

	1	2	3	4
10. My personal identity, independent of others, is very important to me.	.81			
1. I enjoy being unique and different from my colleagues in many aspects.	.57			
4. I feel it is important for me to act as an independent person.	.45			.39
12. Colleagues' assistance is indispensable to good performance at work.		.69		
9. I often have the feeling that my relationships with others are more important than my own accomplishments.		.52		
11. It is important for me to maintain harmony within my faculty/school.	.36	.51	.34	
6. I feel good when I cooperate with others.		.46		.32
3. I respect people who are modest about themselves.			.53	
2. Even when I strongly disagree with people, I avoid an argument.			.50	
7. If a colleague lends me a helping hand, I need to return the favour.			.34	
8. I am comfortable with being singled out for praise or rewards.			-.31	
5. I prefer to be direct and forthright when dealing with people.				.62

The first two extracted interim factors, Independence and Interdependence, were consistent with the previous research findings (Singelis, 1994). However, some items in the original scale did not load on either of these factors. For example, item 5, "I prefer to be direct and forthright when dealing with people", and item 8, "I am comfortable with being singled out for praise or rewards" were originally independence items. Item 2, "Even when I strongly disagree with people, I avoid an argument", and item 3, "I respect people who are modest about themselves" were

interdependence items in the original self-construal scale (Singelis, 1994), but these items loaded on other possible factors in this intermediate solution.

The other two possible factors comprised a mixture of independence and interdependence items (2, 3, 5, 7, and 8) from the original scales, and were not clearly interpretable. In order to generate simple structure and an interpretable factor solution, the problematic items were one by one excluded and factor analysis repeated.

4.2.4.4.2. Second intermediate factor analysis of Australian idiocentrism and allocentrism items

Further factor analyses were carried out with items 2, 3, 5, and 7 removed, one at a time, to generate two interpretable factors (see Table 4.3). The Kaiser-Meyer-Olkin statistic (.70) and Bartlett's Test of Sphericity (274.8, $p < .001$) suggested factor analysis was appropriate.

Table 4.3

Second Intermediate Principal Axis Factor Analysis for Australian Idiocentrism and Allocentrism Items

	1	2
10. My personal identity, independent of others, is very important to me.	.83	
1. I enjoy being unique and different from my colleagues in many aspects.	.60	
4. I feel it is important for me to act as an independent person.	.48	
12. Colleagues' assistance is indispensable to good performance at work.		.65
9. I often have the feeling that my relationships with others are more important than my own accomplishments.		.57
11. It is important for me to maintain harmony within my faculty/school.		.50
6. I feel good when I cooperate with others.		.50
8. I am comfortable with being singled out for praise or rewards.	.25	.07

Item 8, “I am comfortable with being singled out for praise or rewards”, which negatively loaded in the previous solution, did not load on either factor, and was removed for further analysis.

4.2.4.4.3. Final factor solution of Australian idiocentrism and allocentrism items

The Kaiser-Meyer-Olkin statistic (.70) and Bartlett's Test of Sphericity (253.5, $p < .001$) suggested factor analysis was appropriate for the data. The eigenvalues were 2.21 and 1.64, and the factors explained 31.54% and 23.42% of the variance, respectively. The final factor solution is shown in Table 4.4 with item loadings and reliability coefficients. An examination of the item loadings on each factor suggested that the tentative factor names were still appropriate, hence, they were named *Independence* and *Interdependence*.

Table 4.4

Final Principal Axis Factor Solution for Australian Idiocentrism and Allocentrism Items

Factor 1: Independence ($\alpha = .66$)	
10. My personal identity, independent of others, is very important to me.	.79
1. I enjoy being unique and different from my colleagues in many aspects.	.61
4. I feel it is important for me to act as an independent person.	.50
Factor 2: Interdependence ($\alpha = .65$)	
12. Colleagues' assistance is indispensable to good performance at work.	.65
9. I often have the feeling that my relationships with others are more important than my own accomplishments.	.57
6. I feel good when I cooperate with others.	.51
11. It is important for me to maintain harmony within my faculty/school.	.51

4.2.4.5. Factor analysis of research self-efficacy and teaching self-efficacy items

The Kaiser-Meyer-Olkin measure of sampling adequacy, .91, and Bartlett's Test of Sphericity, 4248.0 ($p < .001$), suggested that factor analysis was appropriate. The scree test suggested three possible factors (see Figure 4.3). Principal axis factoring with varimax rotation generated three interpretable factors with eigenvalues 9.79, 4.86, and 1.34, explaining 39.14%, 19.45%, and 5.37% of the variance, respectively. Table 4.5 shows the factors, item loadings and reliability coefficients.

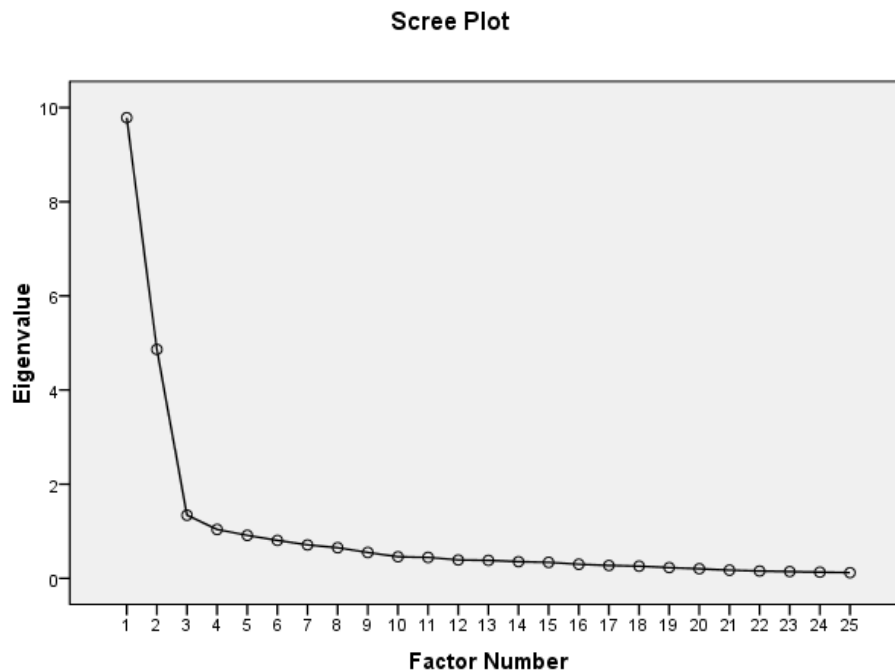


Figure 4.3 Scree plot for research self-efficacy and teaching self-efficacy items.

Factor 1 comprised eleven items focusing on research related activities commonly undertaken by university academics, for example, item 8, "Participate in research project", item 1, "Initiate research ideas", item 16, "Publish articles in domestic journals", and item 25, "Supervise doctoral degree candidates", so the factor was named *Self-Efficacy for Research*.

Table 4.5

Principal Axis Factor Solution for Research Self-Efficacy and Teaching Self-Efficacy Items

Factor 1: Self-Efficacy for Research ($\alpha = .94$)	
8. Participate in research projects.	.83
10. Take charge of research projects.	.83
1. Initiate research ideas.	.80
16. Publish articles in domestic journals.	.79
22. Publish articles in international journals.	.78
24. Present papers in international conferences.	.77
4. Analyse research data.	.77
25. Supervise doctoral degree candidates.	.76
12. Present papers at domestic conferences.	.72
9. Supervise master's degree candidates.	.69
15. Win research funds.	.58
Factor 2: Self-Efficacy for Teaching ($\alpha = .93$)	
20. Assess students' performances.	.84
18. Mark assessment tasks.	.79
17. Revise teaching material.	.79
6. Design appropriate assessment tasks.	.79
14. Revise teaching strategies.	.76
11. Assign grades accurately.	.76
2. Plan lecture content.	.76
21. Identify intended learning outcomes.	.72
7. Supervise undergraduate degree students.	.65
5. Deliver lectures.	.62
13. Cater for students' learning differences.	.62
23. Consult with students.	.53
Factor 3: Self-Efficacy for Publishing Academic Books ($\alpha = .80$)	
3. Publish academic books.	.72
19. Publish textbooks.	.71

Factor 2, *Self-Efficacy for Teaching*, consisted of items describing a wide range of teaching activities from teaching preparation such as item 2, “Plan lecture content”, to teaching lessons such as item 5, “Deliver lectures”, and student assessment such as item 6, “Design appropriate assessment tasks”.

Factor 3 comprised two items, item 3, “Publish academic books” and item 19, “Publish textbooks”, mostly related to publishing activity in university settings. Consequently, factor three was named *Self-Efficacy for Publishing Academic Books*.

4.2.4.6. Factor analysis of performance appraisal self-efficacy items

The Kaiser-Meyer-Olkin statistic, .88 and Bartlett's Test of Sphericity (1250.0, $p < .001$) suggested it was appropriate to apply factor analysis. The scree test suggested a one-factor structure (see Figure 4.4).

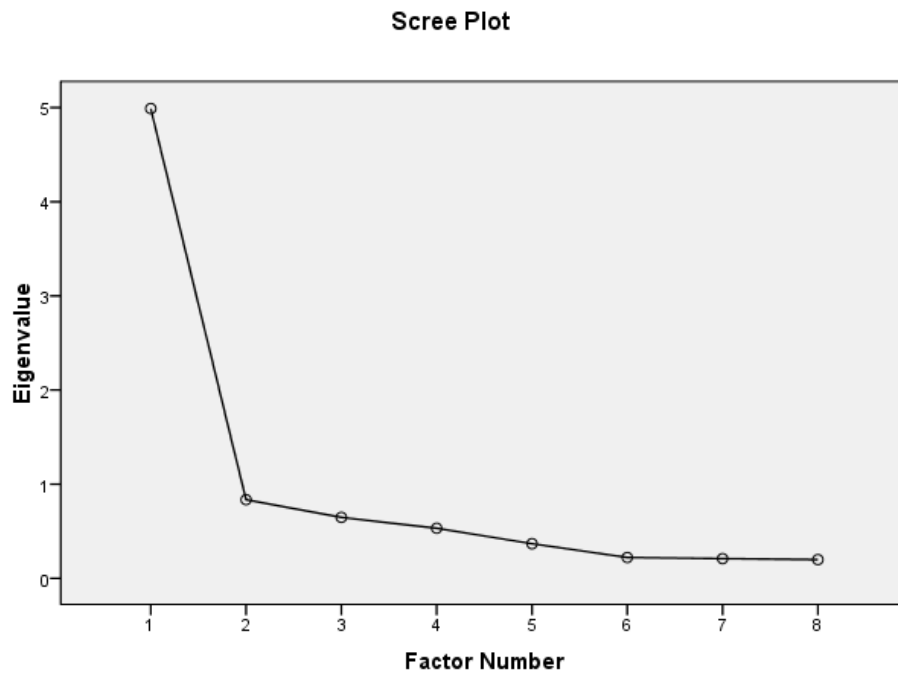


Figure 4.4 Scree plot for performance appraisal self-efficacy items.

Principal axis factoring generated one factor with eight items with eigenvalue 4.99, which explained 62.37% of the variance. The factor was named *Self-Efficacy for Appraisal* as this was the overarching theme. Table 4.6 shows the item loadings and reliability coefficient.

Table 4.6

Principal Axis Factor Solution for Performance Appraisal Self-Efficacy Items

Self-Efficacy for Appraisal ($\alpha = .91$)	
7. Explain reasons for assigning specific ratings in your self-appraisal.	.85
1. Complete a self-appraisal report for your performance appraisal.	.79
2. Provide evidence of your achievements at performance appraisal meetings.	.79
4. Challenge evidence presented during performance appraisal that you believe to be inaccurate.	.78
6. Provide accurate ratings in self-appraisal.	.76
5. Openly discuss performance appraisal feedback with an appraiser(s).	.71
8. Communicate your professional development needs during performance appraisal.	.71
3. Understand the criteria used in performance appraisal.	.64

4.2.4.7. Factor scores

Factor scores, composite measures of each factor, are computed for subsequent analyses such as correlational analysis and multiple regression analysis (Hair, et al., 2010). In the present study, factor scores for each respondent were computed by summing mean scores corresponding to all items loading on a factor. In this way, mean scores could retain the scale metric, which assisted interpretation (DiStefano, et al., 2009).

4.2.4.8. Correlational analysis

Correlations between factor scores were examined before carrying out multiple regression. It should be emphasised that relationships identified may not be interpreted as causal. One-tailed tests of significance were employed as the directions of the relationships were expected or hypothesised (see Chapter Two - Literature Review and Conceptual Framework). Table 4.7 shows intercorrelations of variables of the Australian sample.

Table 4.7

Intercorrelations of Variables of the Australian Sample

Variable	2	3	4	5	6	7
1	.16 [*]	.30 ^{**}	.03	-.07	.04	.26 ^{**}
2		.14 [*]	.10	.08	.12 [*]	.11 [*]
3			-.05	-.06	-.03	.08
4				.31 ^{**}	.52 ^{**}	.38 ^{**}
5					.30 ^{**}	.39 ^{**}
6						.21 ^{**}

Note. Correlation coefficients $\geq .30$ are in boldface.

1. Trust in appraisal

2. Independence

3. Interdependence

4. Self-efficacy for research

* $p < .05$, one-tailed ** $p < .01$, one-tailed

5. Self-efficacy for teaching

6. Self-efficacy for publishing academic books

7. Self-efficacy for appraisal

4.2.4.8.1. Statistically significant correlations between trust in appraisal, independence, interdependence, and self-efficacy for appraisal

Trust in appraisal is positively correlated with interdependence and independence, although for the latter the magnitude of the coefficient is relatively small (see Table 4.7). The positive relationship between trust in appraisal and interdependence ($r = .30$) suggests that generally the higher the Australian participants scored on interdependence, the more trust they had in performance appraisal, and vice versa. The explanation may be that the more the academics held interdependent self-construal, the more likely they may have emphasised common goals and shared responsibilities, and were more likely to maintain relationships and rely on cooperation, including cooperation with colleagues involved in the appraisal process, than their peers with lower interdependence. Arguably this could enhance their trust in appraisal. The finding supports hypothesis 4, allocentrism will be related positively to trust in performance appraisal.

Trust in appraisal is positively correlated with independence. On the face of it, this is an unexpected relationship. Possibly, the higher the participants scored on independence, the more likely they may have emphasised direct communication, and be able to dismiss interpersonal bias in relationship. Hypothesis 3, idiocentrism will be related negatively to trust in performance appraisal is not supported by this finding.

The statistically significant positive relationship between trust in appraisal and self-efficacy for appraisal (see Table 4.7) suggests that the more self-efficacious the Australian academics were for appraisal, the more trust they were likely to have in the process, and vice versa. It is logical that the greater the trust the participants had in appraisal, the more they would tend to actively engage in the process, and be likely to have stronger beliefs in their capabilities to provide accurate appraisal ratings, challenge biased judgements, and discuss appraisal feedback, that is, their

self-efficacy for appraisal. The finding supports hypothesis 5, trust in performance appraisal will be related positively to performance appraisal self-efficacy.

4.2.4.8.2. Statistically significant correlations between independence, interdependence, self-efficacy for publishing academic books, and self-efficacy for appraisal

Independence is positively correlated with interdependence ($r = .14$), with self-efficacy for publishing academic books ($r = .12$), and with self-efficacy for appraisal ($r = .11$), albeit, only weakly. The positive association between independence and interdependence is somewhat surprising, but both relate to “self”, and an individual arguably can be idiocentric and allocentric in different contexts (Triandis, et al., 1985).

The positive relationship between independence and self-efficacy for publishing academic books suggests that the higher the Australian academics scored on independence, the more self-efficacious they were likely to be for publishing academic books, and vice versa. It is possible that the more academics held independent self-construal, generally the more they may have placed importance on personal achievement, and were likely to have developed higher levels of self-efficacy for performing tasks associated with publishing textbooks or academic books. However, the mild positive relationship between independence and self-efficacy for publishing academic books may be explained in that the importance of academic book publications may vary across disciplines or faculties in Australian university settings.

Independence is positively correlated with self-efficacy for appraisal suggesting that the higher the Australian participants scored on independence, the more self-efficacious they were for appraisal, and vice versa. Possibly, the more the academics emphasised personal performance goals and had direct and open communication, the

more likely they were to develop stronger beliefs in their capabilities to provide evidence of their achievements and discuss appraisal tasks with appraisers, that is, their self-efficacy for appraisal.

4.2.4.8.3. Statistically significant correlations between self-efficacy for research, self-efficacy for teaching, self-efficacy for publishing academic books, and self-efficacy for appraisal

Self-efficacy for research is statistically significantly correlated with self-efficacy for teaching ($r = .31$), suggesting that the more self-efficacious the Australian participants were for research, the higher their self-efficacy for teaching, and vice versa. This finding is consistent with a study by Hemmings and Kay (2009) who found mild correlations between research self-efficacy and teaching self-efficacy. One explanation is that research and teaching both are important academic activities, which can be mutually reinforcing (Brew, 2010). It is possible that the more self-efficacious the academics were for research, the more likely they were to integrate their research with their teaching, improving the quality of the latter, hence, increasing their self-efficacy for teaching. However, as the relationship is relatively weak, there is likely to have been limited transfer between research and teaching.

The relatively high positive relationship between self-efficacy for research and self-efficacy for publishing academic books ($r = .52$) makes sense as research generally is related to publication output, including publishing academic books. “Publish or perish” appears to be a common phenomenon in Australian university settings (Adams, 1998; Hemmings, Rushbrook, & Smith, 2005; Hemmings, Smith, & Rushbrook, 2004).

Self-efficacy for research is positively correlated with self-efficacy for appraisal ($r = .38$), suggesting that the more self-efficacious the Australian participants were for research, the higher their self-efficacy for appraisal was likely to be, and vice versa.

Possibly, the higher their self-efficacy for research, the more likely the academics were to gain research achievements, be able to provide evidence of their achievements, and consequently increase their self-efficacy for appraisal. The finding supports hypothesis 6, research self-efficacy will be related positively to performance appraisal self-efficacy.

4.2.4.8.4. Statistically significant correlations between self-efficacy for teaching, self-efficacy for publishing academic books, and self-efficacy for appraisal

The statistically significant positive relationship between self-efficacy for teaching and self-efficacy for publishing academic books (see Table 4.7) suggests that the more self-efficacious the Australian participants were for teaching, the higher their self-efficacy for publishing academic books, and vice versa. It makes sense that the higher academics' self-efficacy for teaching, in general the more likely they were to develop beliefs in their capabilities to produce teaching related materials such as textbooks and academic books, that is, their self-efficacy for publishing academic books. However, the strength of this association is small, and perhaps the motivation to publish academic books varies across different disciplines in Australian universities.

The positive correlation between self-efficacy for teaching and self-efficacy for appraisal suggests that the more self-efficacious the Australian participants were for teaching, the higher their self-efficacy for appraisal, and vice versa. This can be explained in a way similar to the explanation for the relationship between self-efficacy for research and self-efficacy for appraisal. The higher the participants' self-efficacy for teaching, the more likely they were to gain teaching achievements, be able to provide evidence of their achievements in performance appraisal processes, and hence, enhance their self-efficacy for appraisal. The finding supports hypothesis 7, teaching self-efficacy will be related positively to performance appraisal self-efficacy.

4.2.4.9. Multiple regression analyses

Categorical variables in the Australian data (gender, academic qualification, academic rank, and frequency of appraisal participation) were transformed into dummy variables to allow them to be included in the regression models.

Several regression models were carried out to test the posited hypotheses (see Chapter Two – Literature Review and Conceptual Framework). For each analysis, a temporal hierarchical ordering, based on theoretical and logical considerations, was applied: gender, age, academic qualification, years of experience, academic rank, and frequency of appraisal participation. Arguably, gender is determined at birth, and may be expected to have the earliest “effect”, so this was the first demographic variable entered in the model. Age was entered next because life experiences, from the outset of life, generally can be related to age. Academic qualifications are usually gained before gaining a position in a university, so these were entered next in their respective order. Following the same logic, because experience may be expected to precede appointment at or promotion to a particular rank, these two variables were entered next in that order. Finally, frequency of appraisal participation was entered. The demographic variables were entered into regression models with dual purposes: examining their possible relationships with dependent variables, and controlling for their statistical effects.

After the entry of demographic variables, independent variables were entered in the models, using the mixed procedures: forced entry and stepwise. Based on the proposed conceptual framework (see Chapter Two – Literature Review and Conceptual Framework), blocks of independent variables were entered in the following order: interdependence and independence, self-efficacy for research, self-efficacy for teaching, and self-efficacy for publishing academic books, and trust in appraisal. It is reasonable that individuals’ interdependence or independence is nurtured from their early life stage before self-efficacy for research, self-efficacy for

teaching, and self-efficacy for publishing academic books are developed throughout their academic profession. Finally, trust in appraisal was entered. However, in order to maximise the prediction in regression models, each group of independent variables such as interdependence and independence, self-efficacy for research, self-efficacy for teaching, and self-efficacy for publishing academic books were entered stepwise in the order described above.

4.2.4.9.1. Regression of self-efficacy for research (dependent variable) with interdependence and independence

Two demographic variables, academic qualification and academic rank, are statistically significant predictors of self-efficacy for research, accounting for 19% and 6% of the variance, respectively (see Table 4.8).

Table 4.8

Regression of Self-Efficacy for Research With Interdependence and Independence

Step	Variable	$\Delta \text{adj } R^2$	β	SE
1	Gender	.00	-.02	.20
2	Age	.00	-.12	.01
3	Academic qualification [†]	.19***	-	-
4	Years of experience	.00	-.09	.02
5	Academic rank [†]	.06***	-	-
6	Frequency of appraisal participation	.00	-.05	.21

Note. [†] Dummy variables.

*** $p < .001$.

Perusal of the master degree and doctoral degree means shows that holders of doctorates generally had higher levels of self-efficacy for research than holders of master degree (see Figure 4.5). Arguably, by completing doctoral research, academics develop skills and confidence in their research ability (Bailey, 1999). It is logical that academics with higher qualifications were more likely to have stronger self-efficacy for research than those with lesser qualifications. This finding is

consistent with the results reported in some studies (Bailey, 1999; Hemmings & Kay, 2009; Landino & Owen, 1988), suggesting that qualification is positively associated with level of research self-efficacy.

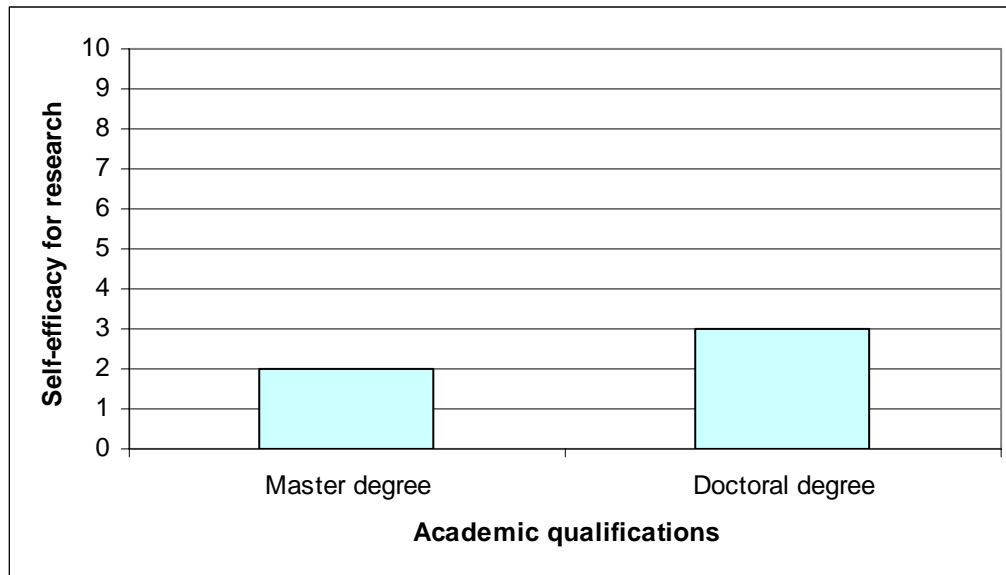


Figure 4.5. Means of self-efficacy for research by academic qualifications.

The results of the Scheffe's test (see Table 4.9) suggest that there are statistically significant differences between lecturers and the other groups of academics: senior lecturers, associate professors, and professors. It is not surprising generally that when academic participants gained more seniority, they may be expected to have engaged in more research, and hence, increased their self-efficacy for research. This is consistent with some studies (Bailey, 1999; Schoen & Winocur, 1988), but differs from a study by Landino and Owen (1988), which found the result that academic rank made no contribution to research self-efficacy.

Table 4.9

Scheffe's Test and Mean Differences of Academic Rank for Self-Efficacy for Research

	Mean difference
Lecturer vs. senior lecturer	-.76*
Lecturer vs. associate professor	-1.06*
Lecturer vs. professor	-1.46*
Senior lecturer vs. associate professor	-.30
Senior lecturer vs. professor	-.70
Associate professor vs. professor	-.39

Note. * $p < .05$

As independence is not a statistically significant predictor of self-efficacy for research, hypothesis 1, idiocentrism will be related positively to research self-efficacy, is not supported.

4.2.4.9.2. Regression of self-efficacy for teaching (dependent variable) with interdependence and independence

Multiple regression analysis did not identify any statistically significant predictors of self-efficacy for teaching. As interdependence is not a statistically significant predictor of self-efficacy for teaching, hypothesis 2, allocentrism will be related positively to teaching self-efficacy, is not supported.

4.2.4.9.3. Regression of trust in appraisal (dependent variable) with interdependence and independence, self-efficacy for research, self-efficacy for teaching, and self-efficacy for publishing academic books

Interdependence is a statistically significant predictor of trust in appraisal, accounting for 4% of the variance (see Table 4.10). The statistically significant positive relationship between trust in appraisal and interdependence (see Table 4.7) suggests that the higher the Australian participants scored on interdependence, the

greater their trust in appraisal, and vice versa. It is likely that the more the academics held interdependent self-construal, the more likely they tended to emphasise interrelatedness, maintain ingroup relationships and rely on cooperation when conducting academic functions. The finding supports hypothesis 4, allocentrism will be related positively to trust in performance appraisal. However, as independence is not a statistically significant predictor of trust in appraisal, hypothesis 3, idiocentrism will be related negatively to trust in performance appraisal, is not supported.

Table 4.10

Regression of Trust in Appraisal With Interdependence and Independence, Self-Efficacy for Research, Self-Efficacy for Teaching and Self-Efficacy for Publishing Academic Books

Step	Variable	$\Delta \text{adj } R^2$	β	SE
1	Gender	.00	-.09	.14
2	Age	.01	.07	.01
3	Academic qualification [†]	.00	-	-
4	Years of experience	.00	-.19	.01
5	Academic rank [†]	.00	-	-
6	Frequency of appraisal participation	.00	.07	.43
7	Interdependence	.04 ^{**}	.20	.11
8	Independence	.01	-1.28	.97
9	Self-efficacy for research	.00	.10	.06
10	Self-efficacy for teaching	.00	-.87	.36
11	Self-efficacy for publishing academic books	-.01	-.02	.03
12	Independence \times Self-Efficacy for Teaching ^{††}	.02 [*]	1.69	.11

Note. [†] Dummy variables. ^{††} Stepwise

* $p < .05$. ** $p < .01$.

After the main effects of independent variables were identified and analysed, potential two-way interactions of independent variables were investigated. Forced

entry was employed with categorical variables and other independent variables to replicate the original analyses. Finally, the cross-product terms were entered stepwise into the model. One product term, Independence \times Self-Efficacy for Teaching is statistically significant (see Table 4.10).

Figure 4.6 facilitates the interpretation of the interaction effect of independence with self-efficacy for teaching.

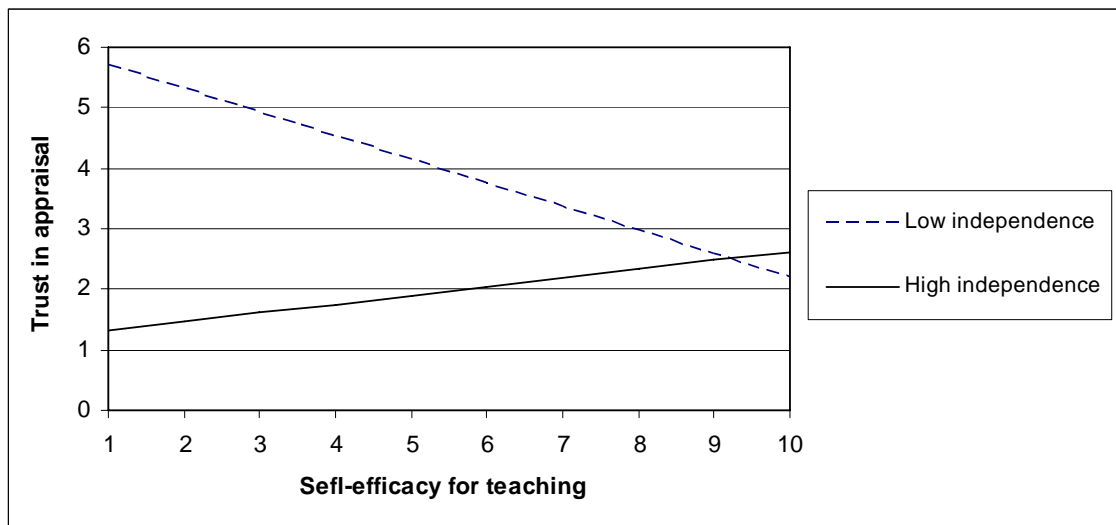


Figure 4.6. Moderating effect of independence on the relationship between self-efficacy for teaching and trust in appraisal.

When self-efficacy for teaching was low, the low independence group generally reported higher trust than the high independence group. Possibly, those Australian academics who scored low on independence (less than one standard deviation below the mean) and perceived themselves to have low self-efficacy for teaching may have been more likely to rely on and build relationships than on their teaching capabilities, increasing their trust in appraisal. On the other hand, those who scored high on independence (greater than one standard deviation above the mean), and perceived themselves to have low self-efficacy for teaching may have been more

likely to emphasise personal identity and competitiveness in performance appraisal processes than those with low independence. Arguably, these academics did not have high perceived trust in appraisal.

When self-efficacy for teaching was high, both low independence and high independence groups generally reported relatively low trust in appraisal. An explanation is that when self-efficacy for teaching was high, both groups may have perceived that teaching achievements were important for performance appraisal processes. Consequently, these academics may have paid less attention to trust in appraisal.

4.2.4.9.4. Regression of self-efficacy for appraisal (dependent variable) with interdependence and independence, self-efficacy for research, self-efficacy for teaching, self-efficacy for publishing academic books, and trust in appraisal

Self-efficacy for research, self-efficacy for teaching, and trust in appraisal are statistically significant predictors of self-efficacy for appraisal, accounting for the total 28% of the variance (see Table 4.11).

Self-efficacy for research is the strongest predictor of self-efficacy for appraisal, explaining 18% of the variance. The statistically significant positive relationship between self-efficacy for research and self-efficacy for appraisal (see Table 4.7) suggests that generally the more self-efficacious the Australian participants were for research, the higher their self-efficacy for appraisal, and vice versa. In many Australian university contexts, research generally is prioritised in academic responsibilities (Harman, 2003), and research achievements arguably are important for performance appraisal (Blackmore & Fraser, 2003). It is likely that the more the participants were self-efficacious for research, the greater was their tendency to execute successfully research tasks and accordingly gain research achievements. These mastery experiences could inform academics' beliefs that they could achieve

performance goals and successfully engage in performance appraisal, and hence, enhance their self-efficacy for appraisal. The finding supports hypothesis 6, research self-efficacy will be related positively to performance appraisal self-efficacy.

Table 4.11

Regression of Self-Efficacy for Appraisal With Interdependence and Independence, Self-Efficacy for Research, Self-Efficacy for Teaching, self-Efficacy for Publishing Academic Books, and Trust in Appraisal

Step	Variable	$\Delta \text{adj } R^2$	β	SE
1	Gender	.00	.10	.18
2	Age	.00	.05	.01
3	Academic qualification	.00	-	-
4	Years of experience	.00	-.07	.01
5	Academic rank [†]	.02	-	-
6	Frequency of appraisal participation	.01	.04	.55
7	Self-efficacy for research	.18***	-.79	.35
8	Self-efficacy for teaching	.08***	2.23	.66
9	Trust in appraisal	.02*	.21	.10
10	Interdependence	.00	1.09	1.38
11	Independence	.01	.89	1.33
12	Self-efficacy for publishing academic books	.01	-1.67	.20
13	Self-Efficacy for Publishing Academic Books \times Self-Efficacy for Research ^{††}	.03**	.88	.02
	Independence \times Self-Efficacy for Teaching ^{††}	.02*	-2.46	.15
	Independence \times Self-Efficacy for Research ^{††}	.01*	1.64	.11
	Interdependence \times Self-Efficacy for Publishing Academic Books ^{††}	.02*	.97	.06
	Interdependence \times Self-Efficacy for Teaching ^{††}	.02*	-1.67	.16

Note. [†] Dummy variable ^{††} Stepwise
 * $p < .05$. ** $p < .01$. *** $p < .001$.

An argument similar to that for the relationship between self-efficacy for research and self-efficacy for appraisal may be applied to the statistically significant relationship between self-efficacy for teaching and self-efficacy for appraisal (see Table 4.7) because research and teaching generally are the two main academic responsibilities likely to be taken account of in performance appraisal (Blackmore & Fraser, 2003). From the finding, hypothesis 7, teaching self-efficacy will be related positively to performance appraisal self-efficacy, is supported.

The statistically significant positive relationship between trust in appraisal and self-efficacy for appraisal (see Table 4.7) suggests that generally the greater trust the Australian participants had in appraisal, the higher their self-efficacy was for appraisal, and vice versa. A possible explanation may be that the higher their self-efficacy for appraisal, the more they tended to emphasise accuracy in their appraisal ratings, and be openly involved in feedback discussion. These characteristics arguably could build academics' trust in appraisal. On the other hand, the more the participants trusted appraisal processes, the more likely they actively engaged in the process, enhancing their self-efficacy for appraisal. Hypothesis 5, trust in performance appraisal will be related positively to performance appraisal self-efficacy, is supported.

Potential two-way interactions of independent variables were investigated after the main effects of independent variables were identified and analysed, employing the same procedure for variable entry as discussed in Section 4.2.4.9.3. Five product terms are statistically significant: Self-Efficacy for Publishing Academic Books \times Self-Efficacy for Research, Independence \times Self-Efficacy for Teaching, Independence \times Self-Efficacy for Research, Interdependence \times Self-Efficacy for Publishing Academic Books, and Interdependence \times Self-Efficacy for Teaching (see Table 4.11).

Figure 4.7 shows the relationship between self-efficacy for research and self-efficacy for appraisal moderated by self-efficacy for publishing academic books.

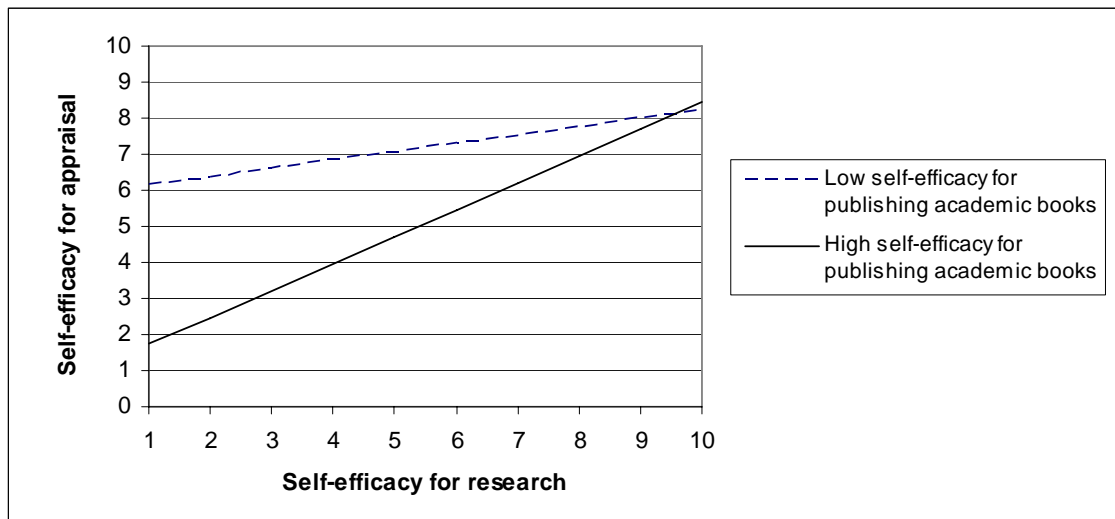


Figure 4.7. Moderating effect of self-efficacy for publishing academic books on the relationship between self-efficacy for research and self-efficacy for appraisal.

When self-efficacy for research was low, the low self-efficacy for publishing academic books group generally reported higher self-efficacy for appraisal than the high self-efficacy for publishing academic books group. However, when self-efficacy for research was high, both groups had much the same relatively high self-efficacy for appraisal. So the point of interest is when self-efficacy for research was low. It is possible that those academics who perceived themselves to have low self-efficacy for research and low self-efficacy for publishing academic books may have been focusing on other activities, possibly administrative activities, that led them to believe they could successfully negotiate performance appraisal processes. Those academics who had low self-efficacy for research but high self-efficacy for publishing academic books may have perceived that their book publications could have satisfied (at least to some extent) requirements of the performance appraisal process.

Figure 4.8 illustrates the two-way interaction of self-efficacy for teaching with independence.

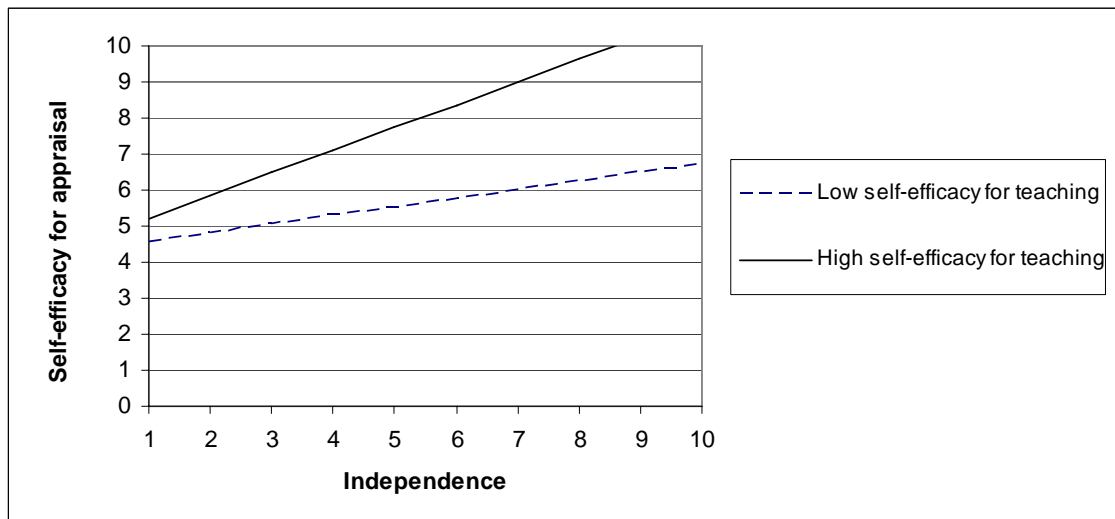


Figure 4.8. Moderating effect of self-efficacy for teaching on the relationship between independence and self-efficacy for appraisal.

When academics' independence scores were low, the low and high self-efficacy for teaching groups generally reported much the same levels of self-efficacy for appraisal. However, when academics' independence scores were high, the high self-efficacy for teaching group generally reported higher self-efficacy for appraisal than the low self-efficacy for teaching group. One explanation is that those who scored high on independence (greater than one standard deviation above the mean) and perceived themselves to have high self-efficacy for teaching may have believed that their teaching achievements could provide positive evidence of personal performance, and this could enhance their self-efficacy for appraisal. On the other hand, the low self-efficacy for teaching group who scored high on independence may have emphasised independent identity rather than relying on relationships with appraisers for performance appraisal outcomes, and hence were less self-efficacious for performance appraisal.

Figure 4.9 shows the relationship between self-efficacy for research and self-efficacy for appraisal moderated by independence.

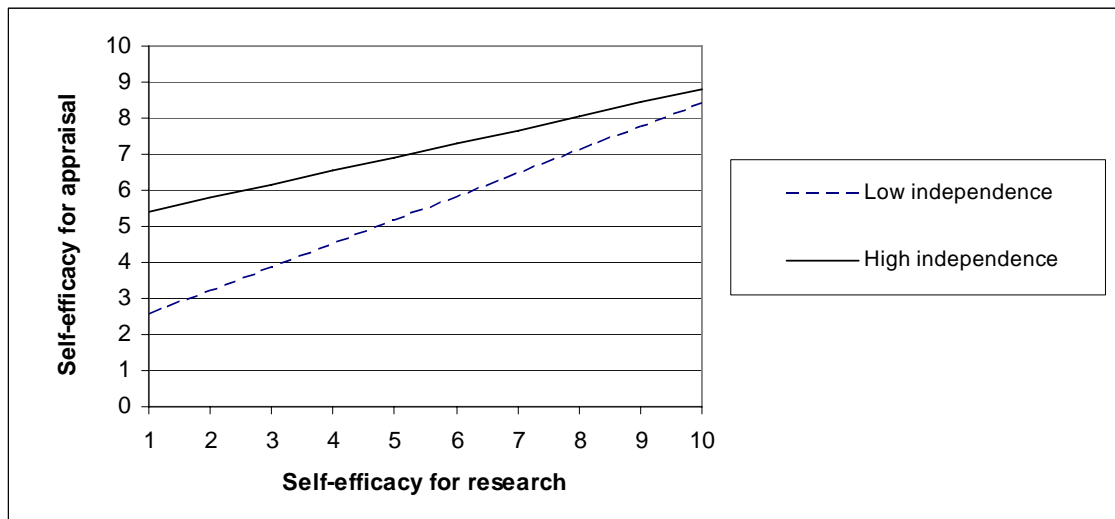


Figure 4.9. Moderating effect of independence on the relationship between self-efficacy for research and self-efficacy for appraisal.

Both low and high independence groups had relatively high self-efficacy for appraisal when self-efficacy for research was high. However, the point of interest is when self-efficacy for research was low because the high independence group generally reported higher self-efficacy for appraisal than the low independence group. An explanation is that those academics who scored high on independence (greater than one standard deviation above the mean) and perceived themselves to have low self-efficacy for research may have placed importance on personal achievements from other activities such as teaching or administration, which led them to be self-efficacious for performance appraisal processes. The academics who scored low on independence (less than one standard deviation below the mean) and perceived themselves to have low self-efficacy for research may have been less likely to emphasise personal achievements and hence, were less confident of their capabilities in performance appraisal than those with high independence.

Figure 4.10 shows the relationship between self-efficacy for publishing academic books and self-efficacy for appraisal moderated by interdependence.

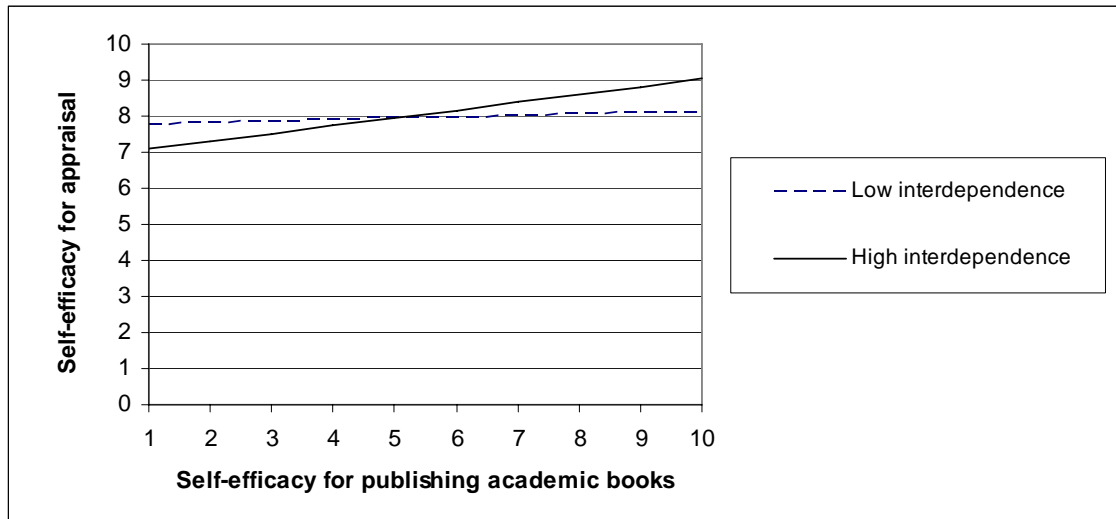


Figure 4.10. Moderating effect of interdependence on the relationship between self-efficacy for publishing academic books and self-efficacy for appraisal.

Both low interdependence and high interdependence groups generally reported high self-efficacy for appraisal. The regression line of the low interdependence group is nearly flat, but the point of interest is the high interdependence group. The academics who scored high on interdependence (greater than one standard deviation above the mean) and perceived themselves to have high self-efficacy for publishing academic books generally reported higher self-efficacy for appraisal than they did when self-efficacy for publishing academic books was low. It makes sense that those academics with high self-efficacy for publishing academic books may have perceived that successes in publishing academic books could provide positive evidence for performance appraisal, and this could enhance their self-efficacy for appraisal.

Figure 4.11 illustrates the relationship between self-efficacy for teaching and self-efficacy for appraisal moderated by interdependence.

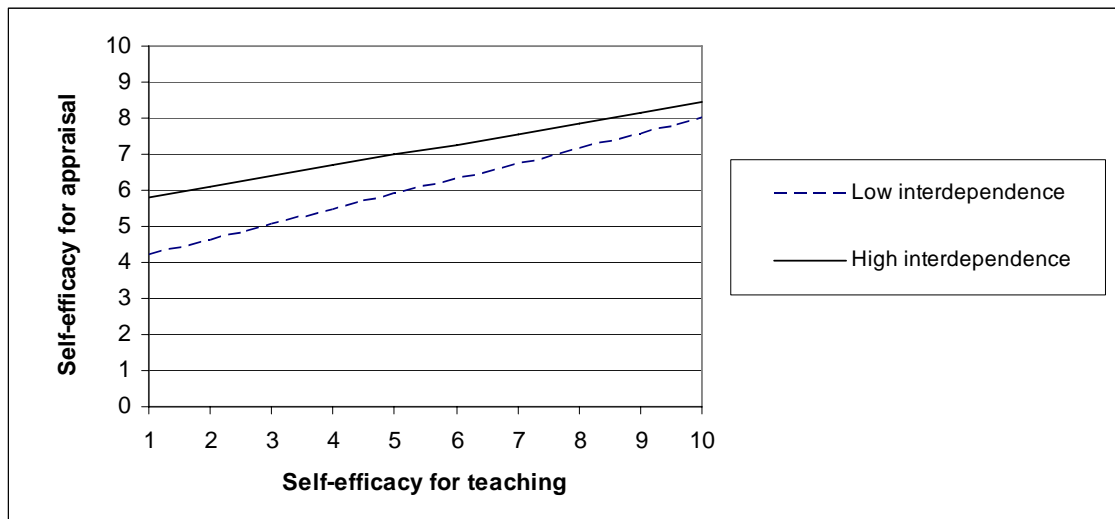


Figure 4.11. Moderating effect of interdependence on the relationship between self-efficacy for teaching and self-efficacy for appraisal.

When self-efficacy for teaching was high, both low and high interdependence groups had much the same relatively high self-efficacy for appraisal. However, when self-efficacy for teaching was low, the high interdependence group generally reported higher self-efficacy for appraisal than the low interdependence group. One explanation is that those academics who scored high on interdependence (greater than one standard deviation above the mean) may have been likely to build relationships and rely on cooperation for performance appraisal outcomes, and enhanced their self-efficacy for appraisal. On the other hand, those academics who scored low on interdependence (less than one standard deviation below the mean) may have been less likely to rely on relationships and assistance from their peers and appraisers for performance appraisal procedures, and were less confident of positive appraisal outcomes than those with high interdependence.

4.3. Vietnamese study

4.3.1. Instrument translation

The survey questionnaire was written in English (see Appendix A) but translated for the Vietnamese version (see Appendix I), utilising both forward and backward translation methods in an attempt to achieve equivalence in this cross-cultural study. Two bilingual university academics initially translated the English version independently. These translators then combined their work and completed the translation with the researcher. The word “performance” appeared to raise the greatest difficulty in the Vietnamese translation as the meaning might differ in different words. The translated version was further reviewed for language clarity and content comprehensibility by three monolingual Vietnamese university academics from the north, the centre, and the south of Vietnam, as there may have been cultural and language variation across the regions. The translation was generally comprehensible except that a minor change of translation was suggested for the item “Your highest academic qualification” to fit with the Vietnamese education system. The Vietnamese version was then translated back to English by a bilingual Vietnamese academic. The researcher reviewed and made some minor changes, modifying phrases before completing the final translation version.

4.3.2. Vietnamese sample

Vietnamese universities were selected from the population of 120 public universities located in the three major regions of Vietnam, in the north, centre, and the south. Three universities, one from each region, were randomly selected, using randomly generated numbers. Faculties or schools of Social Sciences and Humanities, Sciences, and Education were used as sampling strata. Academics from selected faculties or schools were identified from the universities’ websites, and approximately 700 academics were randomly selected, using randomly generated numbers.

The data were collected via online survey from 3rd November, 2011 to 29th February, 2012. The time chosen to administer the survey coincided with the academic schedule when most Vietnamese universities conducted their formal performance appraisal reviews, so it could raise the invited academics' interest and encourage them to participate in the survey. Six hundred and ninety invitation emails (see Appendix J) were initially distributed to randomly selected academics. Due to incorrect email addresses or ineligibility because of lack of participation in performance appraisal reviews, 67 replacement emails were sent to randomly selected participants from the three universities. Follow-up emails were sent one week later to remind the participants to complete the questionnaire. Two hundred and forty-four respondents completed the questionnaire, yielding a response rate of 35.4%. Two hundred and five questionnaires were valid for further analysis as 39 questionnaires were discarded because of extensive missing data.

4.3.3. Vietnamese data analyses

4.3.3.1 Vietnamese demographic information

The Vietnamese sample was composed of 112 male and 92 female university academics; one respondent did not report his or her gender. Age (in years) and years of working as a university academic ranged from 24 to 58 and from one to 35, respectively; several respondents, 34 and 17 respectively, did not provide answers to questions regarding their age and years of experience. A possible explanation may be that these questions were sensitive for some Vietnamese participants. In this sample, 24.4% of the participants held Bachelor degrees, 62.9% Master degrees, and 8.8% Doctoral degrees. Seven respondents (3.4%) detailed their academic statuses as Master and Doctoral candidates. Of 205 respondents, 180 (87.8%) were lecturers, and 20 (9.8%) were senior lecturers. Two respondents (1.0%) indicated their positions as head of academic unit and associate dean of faculty, and three (1.5%) did not respond. Academic responsibilities were classified into teaching (98.5%), research (51.7%), and administration (16.1%). A hundred and sixty-six respondents

(81.0%) completed their performance appraisal reviews annually. Thirteen (6.3%) had biannual performance reviews. Twenty-three respondents indicated their participation in performance reviews to be different, for example, quarterly or semester-based. The descriptive statistics of sets of items from the Vietnamese data are presented in the following sections.

4.3.3.2. Analysis of descriptive statistics of Vietnamese sets of items

4.3.3.2.1. Descriptive analysis of Vietnamese trust in performance appraisal items

Means, standard deviations, and percentages of item responses are shown in Appendix K.1. Interestingly, the Vietnamese respondents reported relatively high agreement with the same items (1, 8 and 9) as did their Australian colleagues. For example, 89.8% of the respondents scored high on item 8, “I am open to performance appraisal feedback from the appraiser(s)”, which had the highest mean score, 3.47. Similarly, more than 60% of the respondents reported high agreement with item 1, “Performance appraisal is conducted in a climate of cooperation”, and item 9, “I can discuss work-related problems, which might negatively affect my performance appraisal ratings, with the appraiser(s). The results suggest that open appraisal communication and cooperation in conducting performance appraisal generally occurred in these university contexts.

4.3.3.2.2. Descriptive analysis of Vietnamese idiocentrism and allocentrism items

Means, standard deviations, and percentages of item responses are presented in Appendix K.2. It is not surprising that the Vietnamese respondents generally reported higher levels of agreement with allocentrism items than idiocentrism items. For example, over 90% of the respondents scored high on items 3 and 6, which had the same mean score, 3.59. However, 87.8% of the respondents scored high on idiocentrism item 5, “I prefer to be direct and forthright when dealing with people”,

which had a relatively high mean score, 3.42. One explanation is that in university settings, when dealing with colleagues, and particularly in relations with students, these Vietnamese academics may have emphasised straightforward behaviours.

Interestingly, like Australian academics, nearly 30% of the Vietnamese respondents scored low on item 2, “Even when I strongly disagree with people, I avoid an argument”, which had the mean score, 2.26. The result suggests that maintaining harmonious relationships generally is important in these university contexts.

Regarding idiocentrism items, up to 39% of the respondents scored low on item 1, “I enjoy being unique and different from my colleagues in many aspects”, which had the lowest mean score, 1.69. Generally, the mean scores of the other idiocentrism items (4, 8, and 10) were around 2.5. It is possible that the Vietnamese respondents generally avoided low ends of the scale. This could be explained in terms of face-saving in a collectivist-oriented society (Hempel, 2001; Hoang, 2008), and is consistent with a study by Yamaguchi, et al. (1995), that noted variations in the use of scales attributed to cultural influences.

4.3.3.2.3. Descriptive analysis of research self-efficacy and teaching self-efficacy items

Means, standard deviations, and percentages of item responses are presented in Appendix K.3. In general, the respondents reported higher levels of self-efficacy for teaching than for research. For example, item 5, “Deliver lectures”, and item 18, “Mark assessment tasks”, had the same highest mean scores, 8.79. The mean scores of the other teaching related items were around 8.0 or greater. The results may be explained in that in many Vietnamese universities, teaching generally is emphasised (Pham, 2010), and academics may have engaged more in teaching activities than research, and consequently mastery experiences may have led to enhanced self-efficacy for teaching.

Regarding research self-efficacy items, the Vietnamese respondents generally reported much lower self-efficacy for research, particularly in terms of complex research activities, than their Australian colleagues. For example, item 25, “Supervise doctoral degree candidates”, had the lowest mean score, 2.92, and item 22, “Publish articles in international journals” had a relatively low mean score, 5.12. One explanation is that in Australian university settings, research has been emphasised (Bentley & Kyvik, 2012; Brew, 2010), and in general, Australian academics may have been likely to develop strong beliefs in their capabilities to perform research tasks in such research-intensive environments. In many Vietnamese universities, on the other hand, academics’ research capacity has been limited (Harman & Le, 2010), which may have been likely to affect Vietnamese academics’ self-efficacy for research.

4.3.3.2.4. Descriptive analysis of performance appraisal self-efficacy items

Means, standard deviations, and percentages of item responses are presented in Appendix K.4. Interestingly, like their Australian colleagues, the Vietnamese respondents generally reported relatively high self-efficacy on items 1 and 7, related to self-appraisal. Item 1 had the highest mean score, 8.66, and item 7 had a mean, 8.58. However, the respondents reported relatively lower self-efficacy on item 5, “Openly discuss performance appraisal feedback with an appraiser(s)”, item 4, “Challenge evidence presented during performance appraisal that you believe to be inaccurate”, and item 2, “Provide evidence of your achievements at performance appraisal meetings”. It is likely that the Vietnamese academics were less self-efficacious for performing appraisal tasks, which may have affected harmonious relationships and modesty. This is also somewhat in line with the aforementioned result that the Vietnamese respondents generally scored low on idiocentrism items which are related to personal identity. However, the speculative explanation to these results needs to be validated in further analyses.

Factor analyses of Vietnamese scales of trust in performance appraisal, idiocentrism and allocentrism, self-efficacy for research and teaching, and self-efficacy for performance appraisal will be presented and discussed in the following sections.

4.3.3.3. Factor analysis of Vietnamese trust in performance appraisal items

The Kaiser-Meyer-Olkin measure of sampling adequacy was .89 and Bartlett's Test of Sphericity was 846.1 ($p < .001$), suggesting that the data were appropriate for factor analysis. The scree test suggested a possible two-factor structure (see Figure 4.12).

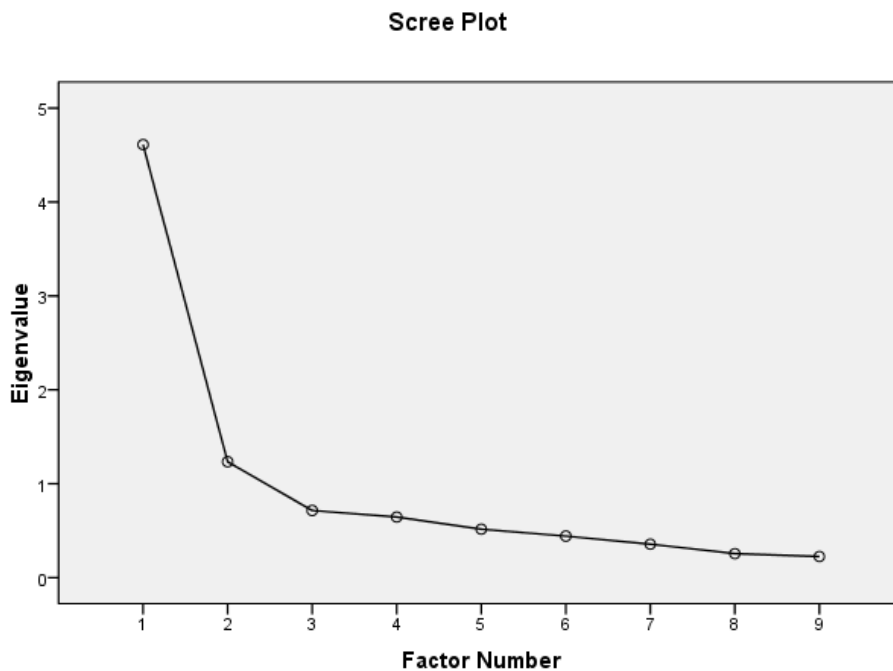


Figure 4.12. Scree plot for trust in performance appraisal items.

Principal axis factoring with varimax rotation of the trust in performance appraisal items produced two interpretable factors with eigenvalues, 4.61 and 1.23, which accounted for 51.24% and 13.71% of the variance, respectively. Table 4.12 shows the factors, item loadings and reliability coefficients.

The first factor comprised seven items reflecting the accuracy and the fairness of performance appraisal, for example, item 4, “I rely on the appraiser’s performance appraisal ratings”, and item 5, “The performance appraisal process in my university is fair” (see Table 4.12). Factor 1 was named *Fairness of Appraisal*.

Table 4.12

Principal Axis Factor Solution for Vietnamese Trust in Performance Appraisal Items

	1	2
Factor 1: Fairness of Appraisal ($\alpha = .89$)		
4. I rely on the appraiser’s performance appraisal ratings.	.87	
5. The performance appraisal process in my university is fair.	.84	
3. I trust the performance appraisal process.	.77	
6. Appraiser(s) evaluates my performance fairly in relation to other staff.	.76	
1. Performance appraisal is conducted in a climate of cooperation.	.65	.38
2. Appraiser(s)’ expectations for my work performance are clear during the performance appraisal.	.53	.33
7. How much effort I put into my job is important for my performance appraisal.	.49	
Factor 2: Openness to Appraisal ($\alpha = .59$)		
9. I can discuss work-related problems, which might negatively affect my performance appraisal ratings, with the appraiser(s).		.69
8. I am open to performance appraisal feedback from the appraiser(s).		.61

Factor 2 comprised two substantially loaded items, which were related to openness to feedback communication in performance appraisal, for example, item 8, “I am open to performance appraisal feedback from the appraiser(s)” and item 9, “I can discuss work-related problems, which might negatively affect my performance

appraisal ratings, with the appraiser(s)”. Factor 2, was named *Openness to Appraisal*. There were two items, namely items 1 and 2, with cross loadings on Fairness of Appraisal. Item 1, “Performance appraisal is conducted in a climate of cooperation” had a loading of .65 on factor 1, and also a cross loading of .38 on factor 2. A possible explanation is that cooperative participation may encourage open discussion of performance appraisal. Item 2, “Appraiser(s)’ expectations for my work performance are clear during the performance appraisal” had a loading of .53 on factor 1, and a cross loading of .33 on factor 2. It is likely that a necessary condition for effective feedback communication is appraisees’ understanding of appraisers’ expectations for their work performance.

4.3.3.4. Factor analysis of Vietnamese idiocentrism and allocentrism items

4.3.3.4.1. First intermediate factor analysis of Vietnamese idiocentrism and allocentrism items

The Kaiser-Meyer-Olkin measure of sampling adequacy, .62 and Bartlett’s Test of Sphericity, 303.8 ($p < .001$) were satisfactory. The scree test suggested four possible factors (see Figure 4.13). Principal axis factoring of idiocentrism and allocentrism items with varimax rotation generated four possible factors (see Table 4.13). Interim factor 1 was tentatively named Interdependence because it consisted of four items related to inter-relationships at the workplace, such as item 6, “I feel good when I cooperate with others”, and item 12, “Colleagues’ assistance is indispensable to good performance at work”. Item 5, “I prefer to be direct and forthright when dealing with people”, originally developed to identify idiocentric characteristics, substantially loaded on the factor. The reason could be that in the university workplace context, when dealing with colleagues, and particularly in relations with their students, Vietnamese academics tended to be direct and encourage straightforward behaviours. In spite of the possible ambiguity, this item was retained at this time.

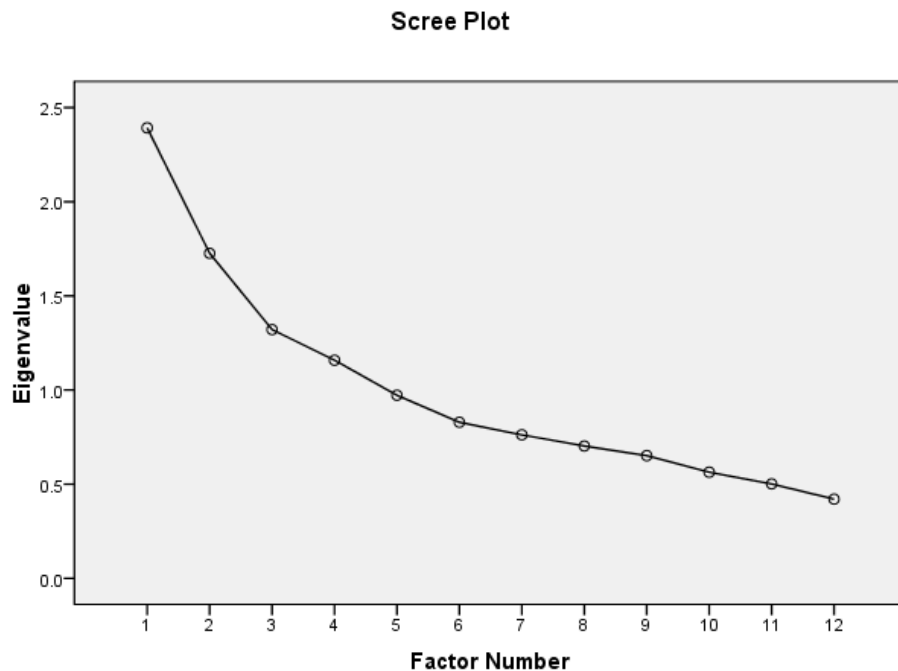


Figure 4.13. Scree plot for idiocentrism and allocentrism items.

Three items loaded on the second interim factor related to personal identity and individual values: item 1, “I enjoy being unique and different from my colleagues in many aspects”, and item 10, “My personal identity, independent of others, is very important to me”. Factor 2 was tentatively named Independence.

Interim factor 3 was composed of three items, which were typical indicators of allocentrism, for example, item 2, “Even when I strongly disagree with people, I avoid an argument” and item 11, “It is important for me to maintain harmony within my school/faculty”. The factor was tentatively named Group Harmony.

The last possible factor comprised a mixture of two independence and interdependence items (3 and 4) from the original scales, and was not clearly interpretable. These items were removed one by one in further analyses.

Table 4.13

First Intermediate Principal Axis Factor Analysis for Vietnamese Idiocentrism and Allocentrism Items

	1	2	3	4
6. I feel good when I cooperate with others.	.63			
7. If a colleague lends me a helping hand, I need to return the favour.	.58			
12. Colleagues' assistance is indispensable to good performance at work.	.50			
5. I prefer to be direct and forthright when dealing with people.	.49			
1. I enjoy being unique and different from my colleagues in many aspects.		.52		
10. My personal identity, independent of others, is very important to me.		.52		
8. I am comfortable with being singled out for praise or rewards.		.51		
2. Even when I strongly disagree with people, I avoid an argument.			.54	
9. I often have the feeling that my relationships with others are more important than my own accomplishments.			.47	
11. It is important for me to maintain harmony within my faculty/school.	.34		.39	
4. I feel it is important for me to act as an independent person.		.37		.50
3. I respect people who are modest about themselves.				.43

4.3.3.4.2. Final factor solution of Vietnamese idiocentrism and allocentrism items

The Kaiser-Meyer-Olkin measure of sampling adequacy, .64 and Bartlett's Test of Sphericity, 237.1 ($p < .001$) suggested factor analysis was appropriate. The final solution with items 3 and 4 removed, one at a time, produced three clearly interpretable factors with eigenvalues 2.30, 1.53 and 1.30, explaining 23.04%, 15.27% and 12.96% of the variance, respectively. An examination of the item

loadings on each factor suggested that the tentative names for the three extracted factors were appropriate: *Interdependence*, *Independence* and *Group Harmony*. It needs to be acknowledged that the reliability coefficient of *Group Harmony* is lower than desirable. Possibly, this is partly due to the small number of items in the factor. Notwithstanding, because the factor and the items were considered theoretically coherent, this factor was retained in further analyses. Table 4.14 shows the factors, item loadings and reliability coefficients.

Table 4.14

Final Principal Axis Factor Solution for Vietnamese Idiocentrism and Allocentrism Items

Factor 1: Interdependence ($\alpha = .63$)	
6. I feel good when I cooperate with others.	.62
7. If a colleague lends me a helping hand, I need to return the favour.	.58
12. Colleagues' assistance is indispensable to good performance at work.	.50
5. I prefer to be direct and forthright when dealing with people.	.49
Factor 2: Independence ($\alpha = .53$)	
1. I enjoy being unique and different from my colleagues in many aspects.	.68
8. I am comfortable with being singled out for praise or rewards.	.43
10. My personal identity, independent of others, is very important to me.	.41
Factor 3: Group Harmony ($\alpha = .41$)	
2. Even when I strongly disagree with people, I avoid an argument.	.59
11. It is important for me to maintain harmony within my faculty/school.	.44
9. I often have the feeling that my relationships with others are more important than my own accomplishments.	.41

4.3.3.5. Factor analysis of research self-efficacy and teaching self-efficacy items

4.3.3.5.1. First intermediate factor analysis of research self-efficacy and teaching self-efficacy items

The Kaiser-Meyer-Olkin statistic (.87) and Bartlett's Test of Sphericity (2784.0, $p < .001$) suggested that factor analysis was appropriate. The scree test suggested a possible four-factor structure (see Figure 4.14).

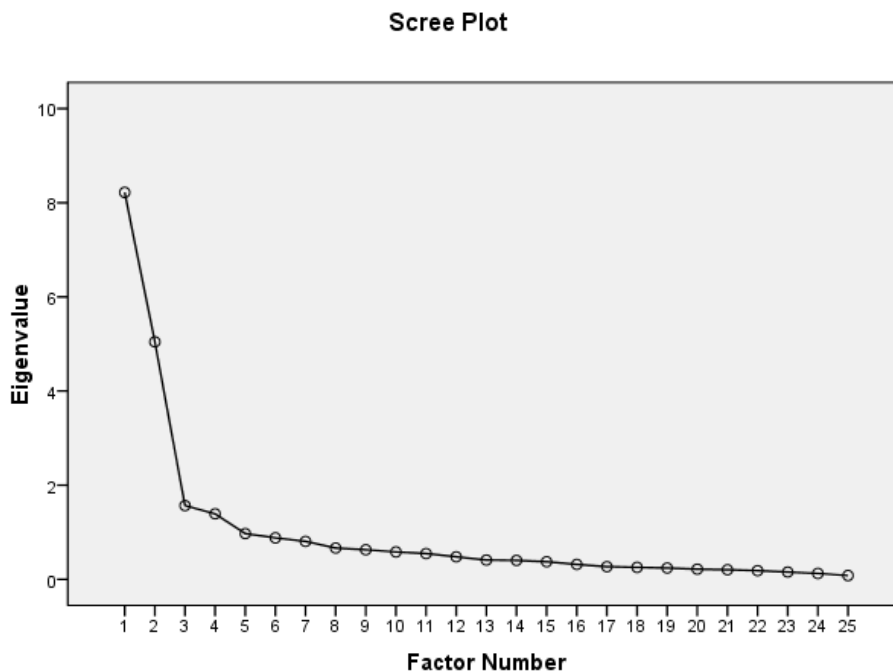


Figure 4.14. Scree plot for self-efficacy for research and teaching items.

Principal axis factoring, with varimax rotation, of self-efficacy for research and self-efficacy for teaching items suggested four possible factors. Interim factor 1 was composed of items related to research tasks requiring individuals' efforts and extensive experience and skill, such as supervising Master or Doctoral candidates, presenting at international conferences, and publishing in international peer-reviewed journals. Interim factor 1 was tentatively named Self-Efficacy for Higher Order Research Activities. Item 16, "Publish articles in domestic journals", arguably

a relatively easier research task, had a loading of .60 on interim factor 1, and also a cross loading of .57 on the other possible factor (see Table 4.15). As the item was inconsistent with the other items and did not firmly load on factor 1, this problematic item was excluded in further analysis.

Interim factor 2 comprised items focusing on teaching activities as indicated by item 5, “Deliver lectures”, item 2, “Plan lecture content”, and item 6, “Design appropriate assessment tasks”. Interim factor 2 was tentatively named Self-Efficacy for Teaching. Item 3, “Publish academic books” had a loading of .55 on interim factor two, and also a cross loading of .36 on interim factor 1, Self-Efficacy for Higher Order Research Activities. Vietnamese academics may have tended to perceive publishing activities to be related to their teaching. A similar argument may be applied to item 19, “Publish textbooks”. Item 1, “Initiate research ideas”, which was originally developed to identify self-efficacy for research, was not consistent with other items in this factor and was excluded in further analyses.

Possible factor 3 consisted of three substantially loaded items, namely item 11, “Assign grades accurately”, item 21, “Identify intended learning outcomes”, and item 23, “Consult with students”. As these items were not consistent with the other items, they were removed one at a time for further analyses.

Possible interim factor 4 comprised substantially items (4, 7, 8, 10, and 12), which had cross loadings on other possible factors (see Table 4.15). It is likely that these items generally were concerned about self-efficacy for research. The substantially loaded items indicated research activities at a perceived lower level of difficulty, commonly undertaken by academics in Vietnamese universities. Examples of these include, item 8, “Participate in research projects”, item 4, “Analyse research data”, and item 7, “Supervise undergraduate degree students”. Self-Efficacy for Lower Order Research Activities was a tentative name for this interim factor.

Table 4.15

First Intermediate Principal Axis Factor Analysis for Research Self-Efficacy and Teaching Self-Efficacy Items

	1	2	3	4
22. Publish articles in international journals.	.89			
24. Present papers in international conferences.	.88			
25. Supervise doctoral degree candidates.	.86			
15. Win research funds.	.71			
9. Supervise master's degree candidates.	.71			
16. Publish articles in domestic journals.	.60			.57
5. Deliver lectures.		.79		
2. Plan lecture content.		.73		
6. Design appropriate assessment tasks.		.71	.36	
20. Assess students' performances.		.59	.48	
13. Cater for students' learning differences.		.58	.39	
14. Assign grades accurately.		.57	.49	
3. Publish academic books.	.36	.55		
1. Initiate research ideas.		.52		
17. Revise teaching material.		.50		.37
18. Mark assessment tasks.	-.37	.49		.31
19. Publish textbooks.	.31	.47		
21. Identify intended learning outcomes.		.35	.79	
11. Assign grades accurately.			.72	
23. Consult with students.		.34	.63	
10. Take charge of research projects.	.59			.61
12. Present papers at domestic conferences.	.51			.57
7. Supervise undergraduate degree students.			.37	.47
4. Analyse research data.		.33		.46
8. Participate in research projects.	.43		.41	.45

4.3.3.5.2. Second intermediate factor analysis of research self-efficacy and teaching self-efficacy items

After removing, one at a time, the items 1, 11, 16, 21 and 23, the second intermediate factor analysis suggested three possible interpretable factors (see Table 4.16). The Kaiser-Meyer-Olkin statistic (.85) and Bartlett's Test of Sphericity (2163.0, $p < .001$) suggested that factor analysis was appropriate.

Interim factor 1 consisted of items (9, 15, 22, 24 and 25) related to self-efficacy for higher order research activities. Items (2, 3, 5, 6, 17, 18, 19, and 20) concerning self-efficacy for teaching were retained in interim factor 2. Interim factor 3 comprised items 4, 7, 8, 10 and 12, which were related to relatively easier research activities, so the tentative factor name, Self-Efficacy for Lower Order Research Activities, was still appropriate.

Possible factor 4 comprised two items, namely items 13 and 14, with cross loadings on factor 2, Self-Efficacy for Teaching, and was not clearly interpretable. The problematic items were removed one by one in further analyses.

Table 4.16

Second Intermediate Principal Axis Factor Analysis for Research Self-Efficacy and Teaching Self-Efficacy Items

	1	2	3	4
22. Publish articles in international journals.	.90			
24. Present papers in international conferences.	.88			
25. Supervise doctoral degree candidates.	.84			
15. Win research funds.	.69		.36	
9. Supervise master's degree candidates.	.68			
5. Deliver lectures.		.80		
2. Plan lecture content.		.77		
6. Design appropriate assessment tasks.		.68		.40
18. Mark assessment tasks.		.67		
20. Assess students' performances.		.66		
17. Revise teaching material.		.47	.33	
19. Publish textbooks.	.33	.44		
3. Publish academic books.	.37	.43		
10. Take charge of research projects.	.54		.65	
7. Supervise undergraduate degree students.			.61	.35
8. Participate in research projects.	.38		.57	
12. Present papers at domestic conferences.	.47		.56	
4. Analyse research data.		.34	.47	
14. Assign grades accurately.		.40		.70
13. Cater for students' learning differences.		.45		.55

4.3.3.5.3. Final factor solution of research self-efficacy and teaching self-efficacy items

The Kaiser-Meyer-Olkin statistic (.85) and Bartlett's Test of Sphericity (1916.0, $p < .001$) suggested factor analysis was appropriate. The final solution with items 13 and 14 removed, one at a time, produced three clearly interpretable factors with eigenvalues, 6.14, 3.98 and 1.29, accounting for 34.11%, 22.10% and 7.14% of the variance, respectively. Table 4.17 shows the factors, item loadings and reliability coefficients.

Table 4.17

Final Principal Axis Factor Solution for Research Self-Efficacy and Teaching Self-Efficacy Items

Factor 1: Self-Efficacy for Higher Order Research Activities ($\alpha = .91$)	
22. Publish articles in international journals.	.86
25. Supervise doctoral degree candidates.	.86
24. Present papers in international conferences.	.86
9. Supervise master's degree candidates.	.68
15. Win research funds.	.66
Factor 2: Self-Efficacy for Teaching ($\alpha = .82$)	
5. Deliver lectures.	.83
6. Design appropriate assessment tasks.	.76
2. Plan lecture content.	.75
20. Assess students' performances.	.72
18. Mark assessment tasks.	.61
17. Revise teaching material.	.47
3. Publish academic books.	.45
19. Publish textbooks.	.45
Factor 3: Self-Efficacy for Lower Order Research Activities ($\alpha = .80$)	
10. Take charge of research projects.	.70
7. Supervise undergraduate degree students.	.62
8. Participate in research projects.	.61
12. Present papers at domestic conferences.	.59
4. Analyse research data.	.46

4.3.3.6. Factor analysis of performance appraisal self-efficacy items

4.3.3.6.1. First intermediate factor analysis of performance appraisal self-efficacy items

The Kaiser-Meyer-Olkin Measure of Sampling Adequacy (.81) and Bartlett's Test of Sphericity (612.0, $p < .001$) suggested that factor analysis was appropriate. The scree test suggested two possible factors (see Figure 4.15).

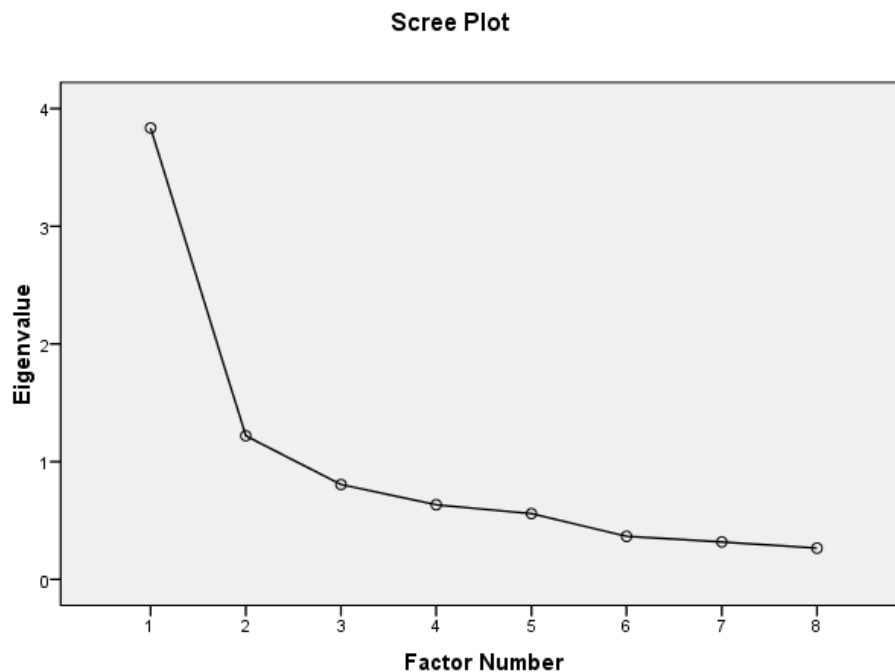


Figure 4.15. Scree plot for performance appraisal self-efficacy items.

Principal axis factor solution generated two possible factors (see Table 4.18). Interim factor one comprised items mostly focusing on confidence of communicating performance appraisal feedback from the appraisee's perspective. Examples of these include, item 7, "Explain reasons for assigning specific ratings in your self-appraisal", and item 8, "Communicate your professional development needs during performance appraisal". Interim factor 1 was tentatively named Self-Efficacy for Appraisal Communication. Item 6, "Provide accurate ratings in self-

appraisal” had a loading of .56 on intermediate factor 1, and also a cross loading of .40 on the other possible factor, and was not consistent with the other items. This item was excluded in further analysis to improve interpretability.

Possible interim factor 2 comprised three substantially loaded items (1, 2 and 3), which generally were related to confidence for completing specific tasks of performance appraisal, for example, item 1, “Complete a self-appraisal report for your performance appraisal” and item 3, “Understand criteria used in performance appraisal”. The interim factor 2 tentatively was named Self-Efficacy for Appraisal Tasks.

Table 4.18

First Intermediate Principal Axis Factor Analysis for Performance Appraisal Self-Efficacy Items

	1	2
7. Explain reasons for assigning specific ratings in your self-appraisal.	.86	
8. Communicate your professional development needs during performance appraisal.	.65	
5. Openly discuss performance appraisal feedback with an appraiser(s).	.61	
6. Provide accurate ratings in self-appraisal.	.56	.40
4. Challenge evidence presented during performance appraisal that you believe to be inaccurate.	.46	
1. Complete a self-appraisal report for your performance appraisal.		.81
2. Provide evidence of your achievements at performance appraisal meetings.	.37	.67
3. Understand criteria used in performance appraisal.	.31	.71

4.3.3.6.2. Final factor solution of performance appraisal self-efficacy items

The Kaiser-Meyer-Olkin Measure of Sampling Adequacy (.77) and Bartlett's Test of Sphericity (503.9, $p < .001$) suggested that factor analysis was appropriate. Further

analysis with the removal of item 6 produced a clean solution with two interpretable factors with eigenvalues, 3.36 and 1.22, explaining 48.01% and 17.39% of the variance, respectively. Table 4.19 shows the factors, item loadings, and reliability coefficients.

Table 4.19

Final Principal Axis Factor Solution of Performance Appraisal Self-Efficacy Items

Factor 1: Self-Efficacy for Appraisal Communication ($\alpha = .75$)	
7. Explain reasons for assigning specific ratings in your self-appraisal.	.85
8. Communicate your professional development needs during performance appraisal.	.66
5. Openly discuss performance appraisal feedback with an appraiser(s).	.61
4. Challenge evidence presented during performance appraisal that you believe to be inaccurate.	.45
Factor 2: Self-Efficacy for Appraisal Tasks ($\alpha = .81$)	
1. Complete a self-appraisal report for your performance appraisal.	.82
3. Understand the criteria used in performance appraisal.	.69
2. Provide evidence of your achievements at performance appraisal meetings.	.68

4.3.3.7. Correlational analysis

Factor scores for each individual were computed, using the same procedure as employed for the Australian data (see Section 4.2.4.7). Then, correlations between factor scores were examined before multiple regression models were carried out. It is emphasised that identified relationships should not be interpreted as causal. One-tailed tests of significance were employed as the directions of the relationships were expected or hypothesised. Table 4.20 shows the intercorrelations of variables of the Vietnamese sample.

Table 4.20

Intercorrelations of Variables of the Vietnamese Sample

Variable	2	3	4	5	6	7	8	9	10
1	.37**	.12*	.20**	.21**	.00	.11	.19**	.36**	.32**
2		.05	.43**	.07	.10	.22**	.25**	.38**	.13*
3			.10	.03	-.17*	-.05	.02	.09	.08
4				.17**	.01	.15*	.19**	.39**	.21**
5					-.07	-.10	.24**	.06	.06
6						.59**	.16*	.16*	-.23**
7							.40**	.20**	.09
8								.28**	.24**
9									.47**

Note. Correlation coefficients $\geq .30$ are in boldface.

1. Fairness of appraisal

2. Openness to appraisal

3. Independence

4. Interdependence

5. Group harmony

* $p < .05$, one-tailed. ** $p < .01$, one-tailed

6. Self-efficacy for higher order research activities

7. Self-efficacy for lower order research activities

8. Self-efficacy for teaching

9. Self-efficacy for appraisal communication

10. Self-efficacy for appraisal tasks

4.3.3.7.1. Statistically significant correlations between fairness of appraisal, openness to appraisal, independence, interdependence, and group harmony

The positive association between fairness of appraisal and openness to appraisal (see Table 4.20) makes sense as these are two aspects of trust. An explanation is that the greater the perceived fairness of appraisal, the more likely the Vietnamese academics were to engage in and accept the process, and be open to appraisal.

Fairness of appraisal is correlated with independence, although the magnitude is small ($r = .12$). This positive association may be explained in that the more the Vietnamese participants held independent self-construal, the less they likely relied on relationships or assistance from peers or academic supervisors for performance appraisal outcomes, hence, increasing the perceived fairness of appraisal.

The positive relationship between fairness of appraisal and interdependence may be attributed to participants having emphasised collective goals and relationships, and being likely to perceive performance appraisal to be fair when the process was conducted in a climate of cooperation. Fairness of appraisal is positively correlated with group harmony suggesting that the higher the Vietnamese academics scored on group harmony, the greater the perceived fairness of performance appraisal, and vice versa. An explanation is that the more the Vietnamese academics emphasised harmony in relationships, the more likely they were to perceive performance appraisal to be fair when performance appraisal procedures were conducted in an atmosphere of group harmony. The finding supports hypothesis 4, allocentrism will be related positively to trust in performance appraisal.

4.3.3.7.2. Statistically significant correlations between fairness of appraisal, self-efficacy for teaching, self-efficacy for appraisal communication, and self-efficacy for appraisal tasks

Fairness of appraisal is positively correlated with self-efficacy for teaching (see Table 4.20) suggesting that the greater the fairness of appraisal the Vietnamese participants perceived, the more self-efficacious they were likely to be for teaching, and vice versa. It is possible that the higher academics' self-efficacy for teaching, the more likely they were to gain teaching achievements. These academics then were more likely to actively engage in performance appraisal, and arguably could believe in the fairness of the performance appraisal procedures. However, this only a tentative explanation, and because the magnitude of the correlation is relatively small ($r = .19$), one should not make too much of this result.

The statistically significant relationship between fairness of appraisal and self-efficacy for appraisal communication can be explained in that the greater the perceived fairness of performance appraisal, the more likely the academics were to engage in the process, have mastery experiences, and increase their self-efficacy for appraisal communication. A similar explanation can be applied to the positive association between fairness of appraisal and self-efficacy for appraisal tasks. In general, the greater the perceived fairness of performance appraisal, the more the participants were likely to actively engage in the process, and strengthen their beliefs in their capabilities to complete appraisal tasks, that is, their self-efficacy for appraisal tasks. The finding partly supports hypothesis 5, trust in performance appraisal will be related positively to performance appraisal self-efficacy.

4.3.3.7.3. Statistically significant correlations between openness to appraisal, interdependence, and group harmony

The statistically significant positive correlation between interdependence and openness to appraisal ($r = .43$) suggests that in general the higher the Vietnamese participants' scores on interdependence, the greater their openness to appraisal, and vice versa. An explanation is that the more academics emphasised collective goals and considerations of others, the more likely they were to engage in performance

appraisal and accept the process, increasing their openness to appraisal. The finding supports hypothesis 4, allocentrism will be related positively to trust in performance appraisal.

The positive association between interdependence and group harmony also makes sense. The more Vietnamese academics emphasised interconnectedness and cooperation, the more likely they were to maintain relationships in harmony, and vice versa.

4.3.3.7.4. Statistically significant correlations between openness to appraisal, self-efficacy for lower order research activities, self-efficacy for teaching, self-efficacy for appraisal communication, and self-efficacy for appraisal tasks

The statistically significant positive correlation between openness to appraisal and self-efficacy for lower order research activities (see Table 4.20) suggests that the greater participants' openness to appraisal, the higher their self-efficacy for lower order research activities, and vice versa. It is possible that the more self-efficacious the academics were for performing relatively easy research tasks, generally the more likely they were to achieve research outcomes, be able to discuss their performance, and provide evidence of their research achievements. Arguably, this could increase the academics' openness to appraisal.

Openness to appraisal is positively correlated with self-efficacy for teaching ($r = .25$) suggesting that the greater the academics' openness to appraisal, the more self-efficacious they were likely to be for teaching, and vice versa. Possibly, the higher their self-efficacy for teaching, in general the more likely the academics were to teach successfully. These academics could more likely actively engage in performance appraisal and provide evidence of their teaching achievements, hence, increasing their openness to appraisal.

The statistically significant positive correlation between openness to appraisal and self-efficacy for performance appraisal communication ($r = .38$) makes sense; the higher their self-efficacy for performance appraisal communication, in general the more likely the academics were to engage with appraisers in performance appraisal and increase their openness to appraisal, and vice versa. It is logical that the more self-efficacious the academics were for performance appraisal, the more likely they were to engage in and accept the process, increasing their openness to appraisal. A similar explanation can be applied to the positive association between openness to appraisal and self-efficacy for appraisal tasks. The higher their self-efficacy for appraisal tasks, the more likely the academics were to engage in appraisal processes, and hence, increase the openness to appraisal. The finding partly supports hypothesis 5, trust in performance appraisal will be related positively to performance appraisal self-efficacy.

4.3.3.7.5. Statistically significant correlations between interdependence, self-efficacy for lower order research activities, self-efficacy for teaching, self-efficacy for appraisal communication, and self-efficacy for appraisal tasks

The positive correlation between interdependence and self-efficacy for lower order research activities (see Table 4.20) suggests that the higher Vietnamese participants scored on interdependence, the more self-efficacious they were likely to be for lower order research activities, and vice versa. An explanation is that the more the academics held interdependent self-construal beliefs, the more likely they emphasised relationships and promoted cooperation. Those academics were more likely to enhance beliefs in their capabilities to perform lower order research tasks, generally involving cooperative participation than those with low interdependence.

The statistically significant positive correlation between interdependence and self-efficacy for teaching (see Table 4.20) suggests that the higher the Vietnamese participants scored on interdependence, the higher their self-efficacy for teaching,

and vice versa. The relationship makes sense as teaching generally is related to working with groups. The more academics may have emphasised collective goals and relationships, the more likely they were to succeed as lecturers and develop beliefs in their capabilities to interact with students, that is, their self-efficacy for teaching. The finding supports hypothesis 2, allocentrism will be related positively to teaching self-efficacy.

The statistically significant positive correlation between interdependence and self-efficacy for appraisal communication ($r = .39$) suggests that the higher the Vietnamese academics scored on interdependence, the higher their self-efficacy for appraisal communication, and vice versa. An explanation is that the more the participants emphasised shared goals and relationships, the more likely they were to actively engage with appraisers in performance appraisal and discuss appraisal feedback, hence, increasing their self-efficacy for appraisal communication. A similar explanation can be applied to the positive association between interdependence and self-efficacy for appraisal tasks (see Table 4.20). Possibly, the more academics emphasised collective goals and cooperative behaviours, the more likely they were to actively participate in performance appraisal and complete appraisal tasks successfully, which could enhance their self-efficacy for appraisal tasks.

4.3.3.7.6. Statistically significant correlations between self-efficacy for higher order research activities, self-efficacy for lower order research activities, self-efficacy for teaching, self-efficacy for appraisal communication, and self-efficacy for appraisal tasks

The statistically significant positive correlation between self-efficacy for higher order research activities and self-efficacy for lower order research activities ($r = .59$) suggests that the more self-efficacious the Vietnamese participants were for complex research tasks, the higher their self-efficacy for relatively easier research tasks, and

vice versa. It is possible that the more self-efficacious academics were for performing relatively easy research activities, generally the more likely they were to gain research achievements. Arguably, these mastery experiences could inform their self-efficacy for performing more complex research tasks.

Self-efficacy for higher order research activities is positively correlated with self-efficacy for teaching, although the relationship is relatively weak (see Table 4.20). Research and teaching both are important academic activities, which can be mutually reinforcing (Brew, 2010). Possibly, the higher the participants' self-efficacy for performing complex research tasks, the more likely they were to integrate their research with teaching, generally improving the performance of the latter, hence, increasing their self-efficacy for teaching. A similar explanation can be applied to the positive association between self-efficacy for lower order research activities and self-efficacy for teaching.

Self-efficacy for higher order research activities is correlated with self-efficacy for appraisal communication (see Table 4.20). The positive association may be explained in that the higher their self-efficacy for higher order research activities, generally the more likely the academics were to gain research achievements, be able to provide performance achievements, and engage actively in appraisal communication with appraisers. Arguably, these mastery experiences could inform academics' self-efficacy for appraisal communication.

Self-efficacy for higher order research activities is negatively correlated with self-efficacy for appraisal tasks ($r = -.23$) suggesting that the more self-efficacious Vietnamese participants were for complex research tasks, the lower their self-efficacy for completing appraisal tasks, and vice versa. One explanation may be that those academics who were more self-efficacious for complex research activities were more likely to gain research achievements, which arguably were evidence of

performance appraisal outcomes (CTU, 2010). Furthermore, they might have not considered completing appraisal tasks to be important. Another explanation for the association, from the opposite direction, may be that completing appraisal tasks generally involved relatively simple tasks which seemed not to have provided those academics with informational sources for their self-efficacy for carrying out complex research tasks. Hypothesis 6, research self-efficacy will be related positively to performance appraisal self-efficacy, is not fully supported from the finding.

4.3.3.7.7. Statistically significant correlations between self-efficacy for teaching, self-efficacy for appraisal communication, and self-efficacy for appraisal tasks

The positive association between self-efficacy for teaching and self-efficacy for appraisal communication (see Table 4.20) suggests that the higher Vietnamese academics' self-efficacy for teaching, the more self-efficacious they were for appraisal communication, and vice versa. An explanation is that the more self-efficacious the academics were for teaching, the more likely they were to gain teaching achievements, and be able to provide evidence of their teaching, which could enhance their self-efficacy for appraisal communication. A similar explanation can be applied to the positive association between self-efficacy for teaching and self-efficacy for appraisal tasks. The higher the participants' self-efficacy for teaching, the more likely they gained teaching achievements, and were able to provide evidence of achievements, which could enhance their self-efficacy for appraisal tasks. The finding supports hypothesis 7, teaching self-efficacy will be related positively to performance appraisal self-efficacy.

The statistically significant positive correlation between self-efficacy for appraisal communication and self-efficacy for appraisal tasks ($r = .47$) makes sense as these are two aspects of performance appraisal (a simple factor for the Australian sample),

and arguably, academics generally could enhance their self-efficacy for performing related tasks within the domain (Bandura, 1997).

4.3.3.8. Multiple regression analyses

To meet requirements of multiple regression analysis, categorical variables in the Vietnamese data (gender, academic qualification, academic rank, and frequency of appraisal participation) were transformed into dummy variables.

The same procedure of entering variables into the regression models employed for the Australian data was applied to the Vietnamese data, that is, a temporal hierarchical ordering was applied for demographic variables (gender, age, academic qualification, years of experience, academic rank, and frequency of appraisal participation). Then, blocks of independent variables (interdependence, independence, and group harmony, self-efficacy for higher order research activities, self-efficacy for lower research activities, and self-efficacy for teaching, fairness of appraisal and openness to appraisal) were entered, using mixed procedures: forced entry and stepwise.

4.3.3.8.1. Regression of self-efficacy for higher order research activities (dependent variable) with interdependence, independence, and group harmony

Two demographic variables, age and academic qualification, are predictors of self-efficacy for higher order research activities, accounting for 5% and 4% of the variance, respectively (see Table 4.21).

The statistically significant positive relationship between age and self-efficacy for higher order research activities suggests that the older the Vietnamese academics were, the more self-efficacious they were for performing complex research tasks, and vice versa. This finding is at odds with a study with Australian academics (Landino & Owen, 1988), reporting that age was negatively related to research self-

efficacy. In Vietnamese university contexts, it is likely that with increasing age, academics were more likely to gain skill and engage in more research than younger staff, and accordingly would strengthen their beliefs in their capabilities to perform complex research activities.

Table 4.21

Regression of Self-Efficacy for Higher Order Research Activities With Interdependence, Independence, and Group Harmony

Step	Variable	$\Delta \text{adj } R^2$	β	SE
1	Gender	.02	.14	.51
2	Age	.05**	-.19	.11
3	Academic qualification [†]	.04*	-	-
4	Years of experience	.00	.27	.11
5	Academic rank [†]	-.01	-	-
6	Frequency of appraisal participation	-.01	-.03	.40
7	Independence ^{††}	.05**	-.25	.38

Note. [†] Dummy variables. ^{††} Stepwise

* $p < .05$. ** $p < .01$.

The results of the Scheffe's test (see Table 4.22) suggest that there are statistically significant differences between Bachelor and Doctoral degrees, and Master and Doctoral degrees. This is consistent with some studies (Bailey, 1999; Hemmings & Kay, 2009; Hemmings & Kay, 2010b), reporting the positive association between academic qualifications and levels of research self-efficacy. It is logical that the academics with higher academic qualifications were more likely to engage in research, and have more research experiences than those with less qualified colleagues. Arguably, the mastery experiences would inform academics' self-efficacy for complex research tasks.

Independence is a statistically significant predictor of self-efficacy for higher order research activities, accounting for 5% of the variance (see Table 4.21). However,

contrary to the prediction, independence is related negatively to self-efficacy for higher order research activities (see Table 4.20) suggesting that the higher the Vietnamese academics scored on independence, the less self-efficacious they were likely to be for completing higher order research activities. An explanation is that in general the more independent the academics, the more likely they tended to emphasise self-interest and competitiveness, and were less likely to share resources and have opportunities to observe and learn from other experienced researchers, which arguably is an important informational source of their self-efficacy for performing complex research activities. As the association is negative, hypothesis 1, idiocentrism will be related positively to research self-efficacy, partly is not supported.

Table 4.22

Scheffe's Test and Mean Differences of Academic Qualification for Self-Efficacy for Higher Order Research Activities

	Mean difference
Bachelor degree vs. master degree	-1.11
Bachelor degree vs. doctoral degree	-3.69*
Master degree vs. doctoral degree	-2.58*

* $p < .05$.

4.3.3.8.2. Regression of self-efficacy for lower order research activities (dependent variable) with interdependence, independence, and group harmony

Gender predicts 7% of the variance in self-efficacy for lower order research activities (see Table 4.23).

Comparison of the male and female means shows that the Vietnamese males generally had higher self-efficacy for lower order research activities than their female counterparts (see Figure 4.16).

Table 4.23

Regression of Self-Efficacy for Lower Order Research Activities With Interdependence, Independence, and Group Harmony

Step	Variable	$\Delta \text{adj } R^2$	β	SE
1	Gender	.07***	.27	.28
2	Age	.00	-.04	.05
3	Academic qualification [†]	.02	-	-
4	Years of experience	-.01	.03	.05
5	Academic rank [†]	-.01	-	-
6	Frequency of appraisal participation	.00	-.05	.23
7	Interdependence ^{††}	.06**	.26	.29

Note. [†] Dummy variables. ^{††} Stepwise

** $p < .01$ *** $p < .001$.

It is possible that in a male dominated society (Galanti, 2000), Vietnamese male academics may generally have had more opportunities to perform research tasks than their female colleagues.

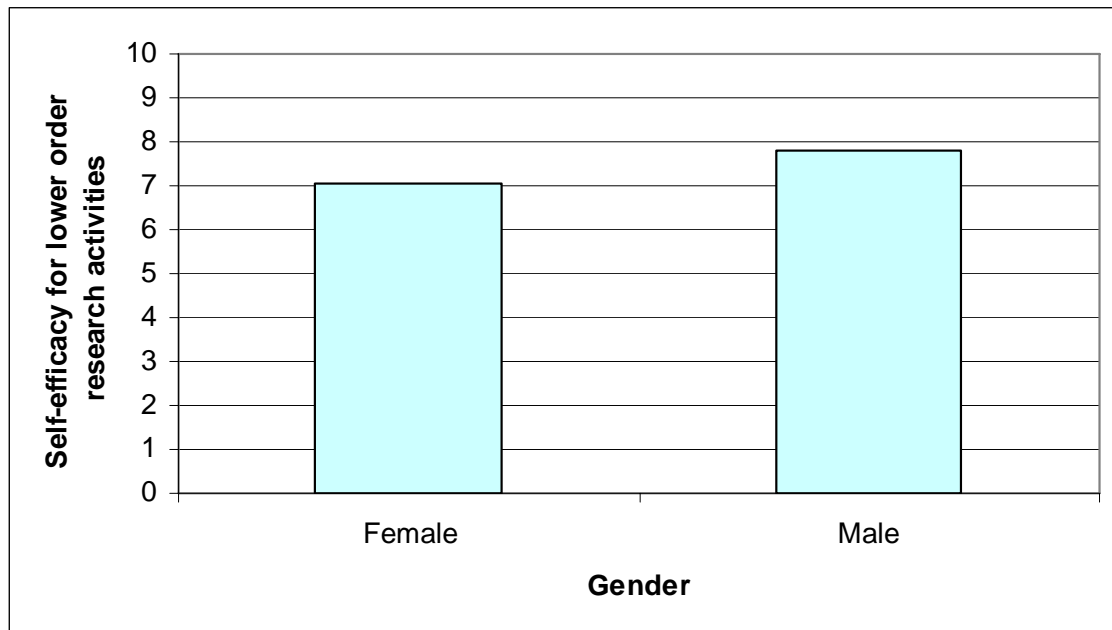


Figure 4.16. Means of self-efficacy for lower order research activities by gender.

Interdependence is a statistically significant predictor of self-efficacy for lower order research activities, accounting for 6% of the variance (see Table 4.23). Possibly, the more the academics held interdependent self-construals, the more likely they emphasised relationships and cooperation, and accordingly, the more likely they engaged in participative research. These mastery experiences could inform academics' beliefs that they could complete research tasks successfully, and hence, enhance their self-efficacy for lower order research activities.

As independence is not a statistically significant predictor of self-efficacy for lower order research self-efficacy, hypothesis 1, idiocentrism will be related positively to research self-efficacy, is not supported.

4.3.3.8.3. Regression of self-efficacy for teaching (dependent variable) with interdependence, independence, and group harmony

The demographic variable, age is a predictor of self-efficacy for teaching, accounting for 4% of the variance (see Table 4.24).

Table 4.24

Regression of Self-Efficacy for Teaching With Interdependence, Independence, and Group Harmony

Step	Variable	$\Delta \text{adj } R^2$	β	SE
1	Gender	.00	.08	.17
2	Age	.04**	.08	.03
3	Academic qualification [†]	.02	-	-
4	Years of experience	.01	.37	.03
5	Academic rank [†]	.01	-	-
6	Frequency of appraisal participation	.00	.11	.13
7	Interdependence ^{††}	.06***	.26	.17

Note. [†] Dummy variables. ^{††} Stepwise

** $p < .01$. *** $p < .001$

The statistically significant positive relationship between age and self-efficacy for teaching suggests that the older the Vietnamese academics, the higher their self-efficacy for teaching. Generally, it is logical that academics' teaching experiences and academic skills increase with age. The older the academics, the more likely they gained teaching performance achievements, and hence could enhance their self-efficacy for teaching.

Interdependence is a statistically significant predictor, accounting for 6% of the variance (see Table 4.24). The positive association between interdependence and self-efficacy for teaching makes sense because teaching, requiring interactions with students, generally is a group-oriented activity. In general, the higher the Vietnamese academics scored on interdependence, the more likely they emphasised relationships and promoted cooperation in teaching activities, and hence, could develop their self-efficacy for teaching. The finding supports hypothesis 2, allocentrism will be related positively to teaching self-efficacy.

4.3.3.8.4. Regression of fairness of appraisal (dependent variable) with interdependence, independence, group harmony, self-efficacy for higher order research activities, self-efficacy for lower order research activities, and self-efficacy for teaching

Interdependence is the only statistically significant predictor of fairness of appraisal, and accounts for 6% of the variance (see Table 4.25). The positive relationship between interdependence and fairness of appraisal (see Table 4.20) may be explained in that the more the academics held interdependent self-construal, the more likely they may have emphasised interconnectedness and cooperative behaviours, and were more likely to accept performance appraisal when it was conducted in a climate of cooperation. The finding partly supports hypothesis 4, allocentrism will be related positively to trust in performance appraisal. However, as independence is not a statistically significant predictor of trust in appraisal,

hypothesis 3, idiocentrism will be related negatively to trust in performance appraisal, is not supported.

Table 4.25

Regression of Fairness of Appraisal With Interdependence, Independence, Group Harmony, Self-Efficacy for Higher Order Research Activities, Self-Efficacy for Lower Order Research Activities, and Self-Efficacy for Teaching

Step	Variable	$\Delta \text{adj } R^2$	β	SE
1	Gender	-.01	.04	.15
2	Age	.00	-.04	.03
3	Academic qualification [†]	-.00	-	-
4	Years of experience	-.01	.09	.03
5	Academic rank [†]	-.01	-	-
6	Frequency of appraisal participation	-.01	.12	.33
7	Interdependence ^{††}	.06**	.28	.16

Note. [†] Dummy variables. ^{††} Stepwise

** $p < .01$.

4.3.3.8.5. Regression of openness to appraisal (dependent variable) with interdependence, independence, group harmony, self-efficacy for higher order research activities, self-efficacy for lower order research activities, and self-efficacy for teaching

Interdependence is a statistically significant predictor of openness to appraisal, accounting for 20% of the variance (see Table 4.26). The positive relationship between interdependence and openness to appraisal (see Table 4.20) suggests that the higher the Vietnamese participants scored on interdependence, the more their openness to appraisal, and vice versa. The interpretation may be that the higher the academics' scores on interdependence, the more likely they promoted cooperation and relationships, and the more likely they engaged openly in performance appraisal when it was conducted in a climate of cooperation. The finding partly supports hypothesis 4, allocentrism will be related positively to trust in performance

appraisal. However, as independence is not a statistically significant predictor of trust in appraisal, hypothesis 3, idiocentrism will be related negatively to trust in performance appraisal, is not supported.

Table 4.26

Regression of Openness to Appraisal With Interdependence, Independence, Group Harmony, Self-Efficacy for Higher Order Research Activities, Self-Efficacy for Lower Order Research Activities, and Self-Efficacy for Teaching

Step	Variable	$\Delta \text{adj } R^2$	β	SE
1	Gender	-.01	.02	.14
2	Age	.00	-.63	.03
3	Academic qualification [†]	-.02	-	-
4	Years of experience	.02	.66	.03
5	Academic rank [†]	-.01	-	-
6	Frequency of appraisal participation	-.01	.00	.32
7	Interdependence	.20***	.41	.14
8	Independence	-.01	.05	.11
9	Group harmony	.01	.09	.11
10	Self-efficacy for higher order research activities	.01	1.59	.21
11	Self-efficacy for lower order research activities	.00	-2.61	.42
12	Self-efficacy for teaching	.00	-.61	.32
13	Self-Efficacy for Higher Order Research Activities × Self-Efficacy for Lower Order Research Activities ^{††}	.04*	1.96	.02
	Self-Efficacy for Higher Order Research Activities × Self-Efficacy for Teaching ^{††}	.06**	-3.39	.03
	Self-Efficacy for Lower Order Research Activities × Self-Efficacy for Teaching ^{††}	.04*	3.12	.05

Note. [†] Dummy variables. ^{††} Stepwise

* $p < .05$. ** $p < .01$. *** $p < .001$.

Potential two-way interactions of independent variables were investigated after the main effects of independent variables were identified and analysed. The regression

analysis was repeated to replicate main effects of the original analysis. Forced entry was employed with categorical variables and with other independent variables, and then, the cross-product terms were entered stepwise into the model. Three product terms, Self-Efficacy for Higher Order Research Activities \times Self-Efficacy for Lower Order Research Activities, Self-Efficacy for Higher Order Research Activities \times Self-Efficacy for Teaching, and Self-Efficacy for Lower Order Research Activities \times Self-Efficacy for Teaching are statistically significant (see Table 4.26).

Figure 4.17 facilitates interpretation of the interaction effect of self-efficacy for lower order research activities and self-efficacy for higher order research activities.

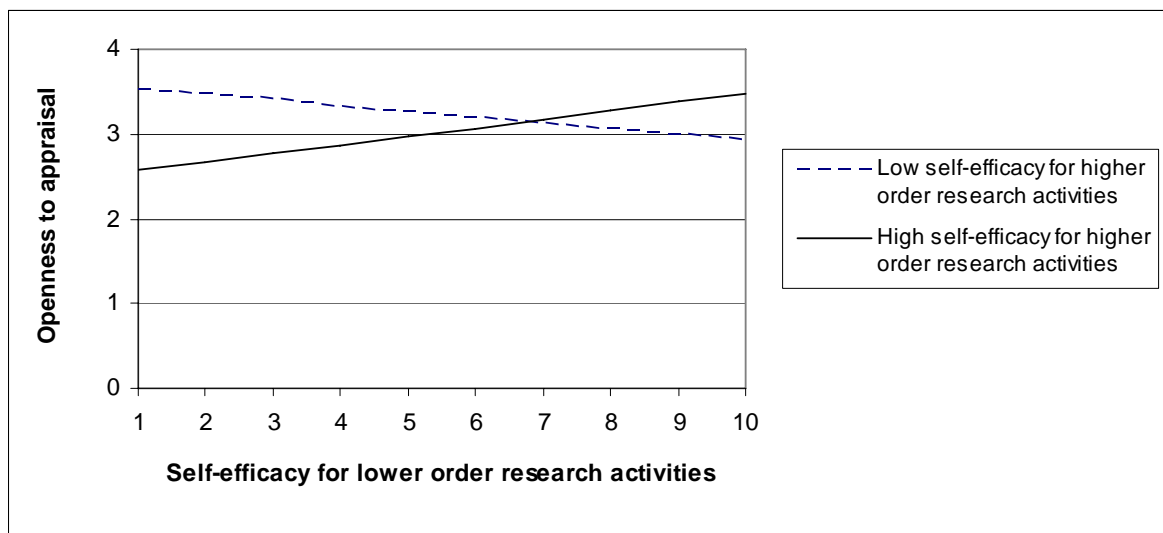


Figure 4.17. Moderating effect of self-efficacy for higher order research activities on the relationship between self-efficacy for lower order research activities and openness to appraisal.

Both low and high self-efficacy for higher order research activities groups generally reported relatively high openness to appraisal, independent of self-efficacy for lower order research activities. When self-efficacy for lower order research activities was low, the low self-efficacy for higher order research activities group generally

reported higher openness to appraisal than the high self-efficacy for higher order research activities group. Possibly, Vietnamese academics who perceived themselves to have low self-efficacy for both lower order and higher order research activities may have emphasised other academic responsibilities, possibly teaching, as academic outcomes, in which they believed they could actively engage in and were open to performance appraisal. On the other hand, those academics who had low self-efficacy for lower order research activities, but high self-efficacy for higher order research activities may have perceived that their successes in complex research activities could have satisfied performance appraisal requirements, and were open to the process.

Figure 4.18 shows the relationship of self-efficacy for teaching and openness to appraisal moderated by self-efficacy for higher order research activities.

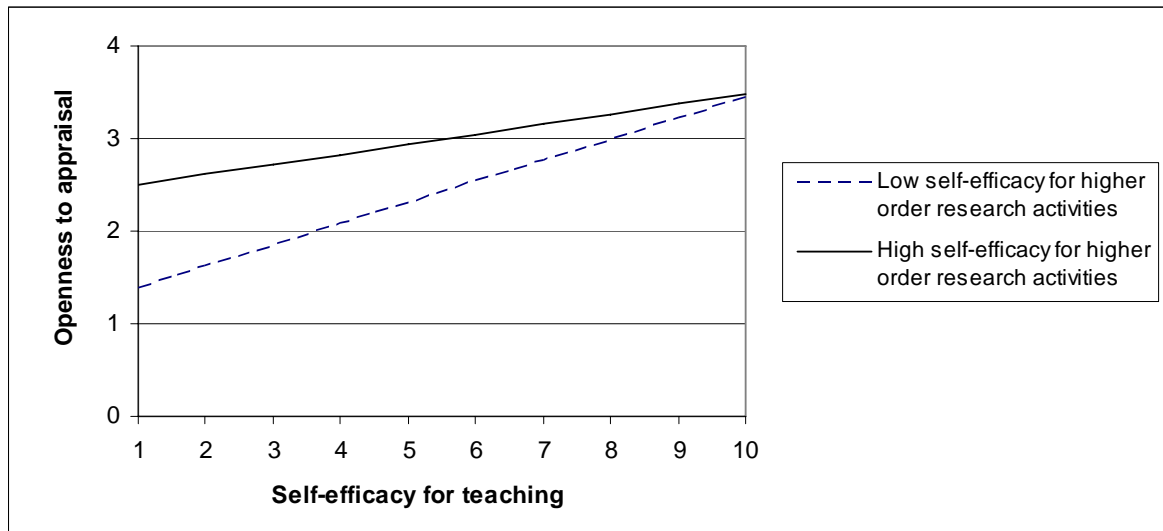


Figure 4.18. Moderating effect of self-efficacy for higher order research activities on the relationship between self-efficacy for teaching and openness to appraisal.

When self-efficacy for teaching was high, both low and high self-efficacy for lower order research activities groups reported approximately the same relatively high

openness to appraisal. However, the point of interest is that when self-efficacy for teaching was low, the high self-efficacy for higher order research activities group generally reported higher openness to appraisal than the low self-efficacy for higher order research activities group. It is possible that Vietnamese academics who had low self-efficacy for teaching, but high self-efficacy for higher order research activities may have perceived that their successes in complex research activities could provide evidence for performance appraisal, and were open to the process. On the other hand, it makes sense that those academics who perceived themselves to have relatively low self-efficacy for teaching and low self-efficacy for higher order research activities generally reported low openness to appraisal.

An interpretation similar to that for the relationship between self-efficacy for teaching and openness to appraisal moderated by self-efficacy for higher order research activities may be applied to the relationship between self-efficacy for teaching and openness to appraisal moderated by self-efficacy for lower order research activities (see Figure 4.19).

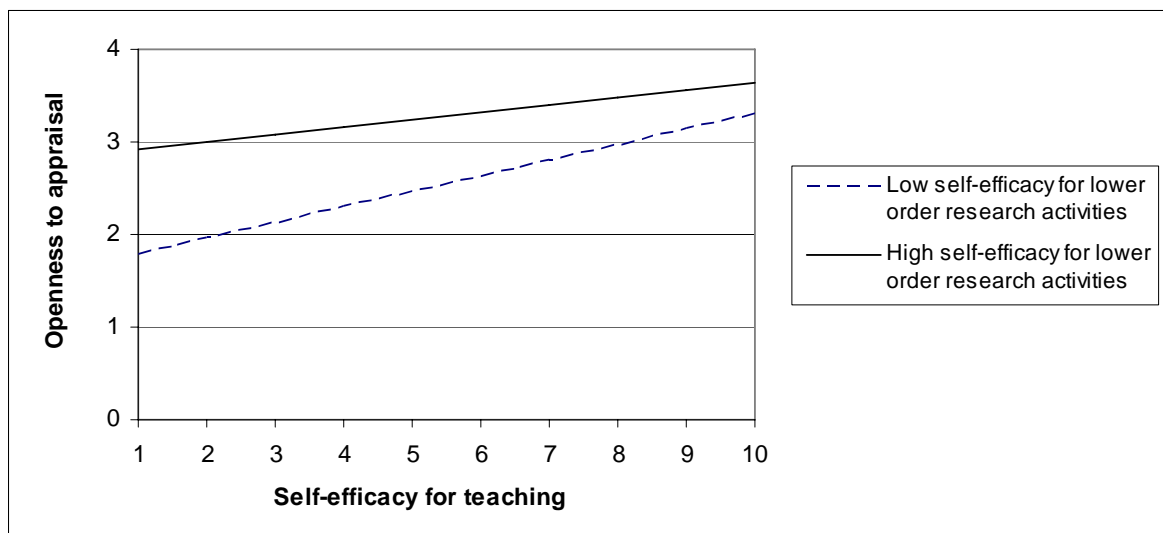


Figure 4.19. Moderating effect of self-efficacy for lower order research activities on the relationship between self-efficacy for teaching and openness to appraisal.

In this two-way interaction, the point of interest is when self-efficacy for teaching was low. Possibly, those who had low self-efficacy for teaching, but high self-efficacy for lower order research activities may have believed that their achievements in relatively easy research activities could satisfy performance appraisal requirements, and were open to the process. On the other hand, those who perceived themselves to have low self-efficacy for teaching and low self-efficacy for lower order research activities may have been less likely to engage openly in performance appraisal.

4.3.3.8.6. Regression of self-efficacy for appraisal communication (dependent variable) with interdependence, independence, group harmony, self-efficacy for higher order research activities, self-efficacy for lower order research activities, self-efficacy for teaching, fairness of appraisal, and openness to appraisal

Interdependence, self-efficacy for teaching, and openness to appraisal are statistically significant predictors, accounting for 9%, 10% and 5% of the variance, respectively (see Table 4.27).

The positive association between interdependence and self-efficacy for appraisal communication (see Table 4.20) suggests that the higher the Vietnamese participants' scores on interdependence, the higher their self-efficacy for appraisal communication, and vice versa. An explanation is that the more the academics held interdependent self-construal, the more likely they tended to emphasise relationships and collective goals, and tended to develop stronger beliefs in their capabilities to share performance appraisal feedback and discuss professional needs, that is, their self-efficacy for appraisal communication.

Table 4.27

Regression of Self-Efficacy for Appraisal Communication With Interdependence, Independence, Group Harmony, Self-Efficacy for Higher Order Research Activities, Self-Efficacy for Lower Order Research Activities, Self-Efficacy for Teaching, Fairness of Appraisal, and Openness to Appraisal

Step	Variable	$\Delta \text{adj } R^2$	β	SE
1	Gender	.01	-.14	.27
2	Age	.03	.27	.05
3	Academic qualification [†]	-.01	-	-
4	Years of experience	.00	-.70	.06
5	Academic rank [†]	-.01	-	-
6	Frequency of appraisal participation	-.01	.04	.55
7	Interdependence	.09**	.17	.30
8	Self-efficacy for teaching	.10**	-1.01	.45
9	Openness to appraisal	.05*	.15	.19
10	Independence	.00	-.08	.22
11	Group harmony	-.01	-.02	.22
12	Self-efficacy for higher order research activities	.00	.20	.06
13	Self-efficacy for lower order research activities	.00	-.17	.10
14	Fairness of appraisal	.02	-3.10	1.41
15	Fairness of Appraisal \times Self-Efficacy for Teaching ^{††}	.15***	3.69	.16

Note. [†] Dummy variables. ^{††} Stepwise

* $p < .05$. ** $p < .01$. *** $p < .001$.

The positive relationship between self-efficacy for teaching and self-efficacy for appraisal communication (see Table 4.20) suggests that the more self-efficacious the Vietnamese participants were for teaching, the higher their self-efficacy for appraisal communication, and vice versa. An explanation is that in many Vietnamese university contexts, teaching workload generally is emphasised (CTU, 2010; Harman, et al., 2010), and teaching achievements are likely to be important for performance appraisal. In general, the higher the participants' self-efficacy for teaching, the more likely they were to gain teaching achievements, and be able to

discuss their performance evidence, increasing their self-efficacy for appraisal communication. The finding partly supports hypothesis 7, teaching self-efficacy will be related positively to performance appraisal self-efficacy.

The statistically significant positive relationship between openness to appraisal and self-efficacy for appraisal communication may be explained in that the more self-efficacious the academics were for appraisal communication, the more likely they were to engage with appraisers in performance appraisal. Arguably, this could increase the academics' openness to appraisal. The finding partly supports hypothesis 5, trust in performance appraisal will be related positively to performance appraisal self-efficacy.

A single product term, fairness of appraisal \times self-efficacy for teaching, is statistically significant (see Table 4.27). Figure 4.20 facilitates the interpretation of the relationship between self-efficacy for teaching and self-efficacy for appraisal communication moderated by fairness of appraisal.

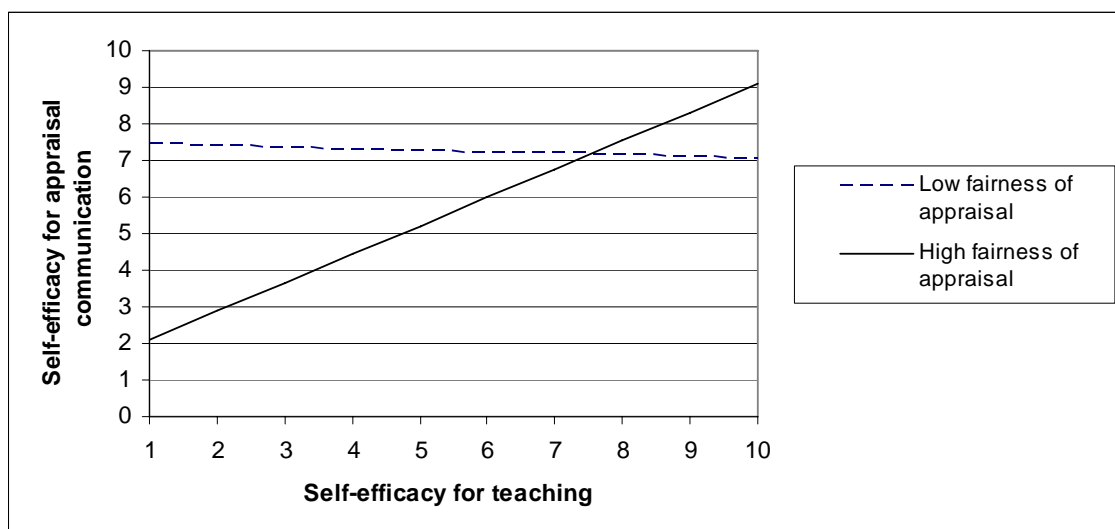


Figure 4.20. Moderating effect of fairness of appraisal on the relationship between self-efficacy for teaching and self-efficacy for appraisal communication.

The regression line of the low fairness of appraisal group is nearly flat, so the point of interest is the high fairness of appraisal group. When self-efficacy for teaching was low, the high fairness of appraisal group generally reported relatively low self-efficacy for appraisal communication. Possibly, those academics with low self-efficacy for teaching, and high fairness of appraisal may have been less likely to rely on relationships with colleagues and appraisers for performance appraisal outcomes, and hence, were less self-efficacious for appraisal communication. When self-efficacy for teaching was high, the high fairness of appraisal group generally reported relatively high self-efficacy for appraisal communication. It makes sense that those academics may have perceived that their teaching achievements could provide positive evidence of their performance appraisal, and this could strengthen their self-efficacy for appraisal communication.

4.3.3.8.7. Regression of self-efficacy for appraisal tasks (dependent variable) with interdependence, independence, group harmony, self-efficacy for higher order research activities, self-efficacy for lower order research activities, self-efficacy for teaching, fairness of appraisal, and openness to appraisal

Self-efficacy for teaching is the best predictor of self-efficacy for appraisal tasks, accounting for 15% of the variance (see Table 4.28).

The statistically significant positive relationship between self-efficacy for teaching and self-efficacy for appraisal tasks (see Table 4.20) suggests that the more self-efficacious the Vietnamese academics were for teaching, the higher their self-efficacy for appraisal tasks, and vice versa. An explanation is that the higher their self-efficacy for teaching, generally the greater the academics' tendency to execute successfully teaching tasks, and accordingly gain teaching achievements. These mastery experiences could inform academics' beliefs that they could achieve performance goals and actively engage in performance appraisal, enhancing their

self-efficacy for appraisal tasks. Hypothesis 7, teaching self-efficacy will be related positively to performance appraisal self-efficacy is supported by the finding.

Table 4.28

Regression of Self-Efficacy for Appraisal Tasks With Interdependence, Independence, Group Harmony, Self-Efficacy for Higher Order Research Activities, Self-Efficacy for Lower Order Research Activities, Self-Efficacy for Teaching, Fairness of Appraisal, and Openness to Appraisal

Step	Variable	$\Delta \text{adj } R^2$	β	SE
1	Gender	-.01	.08	.28
2	Age	.02	-.27	.06
3	Academic qualification [†]	-.01	-	-
4	Years of experience	-.01	.11	.06
5	Academic rank [†]	.00	-	-
6	Frequency of appraisal participation	-.01	-.08	.55
7	Self-efficacy for teaching	.15***	.29	.14
8	Self-efficacy for higher order research activities	.10***	-.53	.06
9	Self-efficacy for lower order research activities	.03*	-.49	.35
10	Fairness of appraisal	.09***	-1.07	.90
11	Interdependence	-.01	.10	.30
12	Independence	.01	-.15	.22
13	Group harmony	-.01	-.44	.10
14	Openness to appraisal	.00	-.15	1.05
15	Fairness of Appraisal \times Group Harmony ^{††}	.06**	2.04	.30
	Openness to Appraisal \times Group Harmony ^{††}	.03**	-1.06	.25
	Openness to Appraisal \times Self-Efficacy for Lower Order Research Activities ^{††}	.02*	1.15	.10

Note. [†] Dummy variables. ^{††} Stepwise

* $p < .05$. ** $p < .01$. *** $p < .001$.

The second significant predictor, self-efficacy for higher order research activities, accounted for 10% of the variance. The negative relationship between self-efficacy for higher order research activities and self-efficacy for appraisal tasks (see Table

4.20) suggests that the more self-efficacious the Vietnamese academics were for higher order research activities, the lower their self-efficacy for appraisal tasks, and vice versa. Possibly, the higher their self-efficacy for performing complex research activities, the less likely the academics had interest in carrying out routine performance appraisal exercises such as filling appraisal forms. Also, it is possible that the more self-efficacious the academics were for higher order research activities, the more likely they would gain research achievements, which arguably could account for performance appraisal outcomes, not much depending on their completing appraisal tasks. From the finding, hypothesis 6, research self-efficacy will be related positively to performance appraisal self-efficacy, is not supported in terms of completing appraisal tasks.

Fairness of appraisal is the third predictor, explaining 9% of the variance. The positive relationship between fairness of appraisal and self-efficacy for appraisal tasks suggests that the greater their perceived fairness of appraisal, the higher the academics' self-efficacy for appraisal tasks, and vice versa. Possibly, the more likely the academics perceived performance appraisal to be fair and trustworthy, the more likely they were to actively engage in the process, increasing their self-efficacy for appraisal tasks. The finding partly supports hypothesis 5, trust in performance appraisal will be related positively to performance appraisal self-efficacy.

The last significant predictor is self-efficacy for lower order research activities, accounting for 3% of the variance. Although the two factors are uncorrelated (see Table 4.20), the result of regression analysis supports hypothesis 6, research self-efficacy will be related positively to performance appraisal self-efficacy.

Three product terms, Fairness of Appraisal \times Group Harmony, Openness to Appraisal \times Group Harmony, and Openness to Appraisal \times Self-Efficacy for Lower Order Research Activities are statistically significant (see Table 4.28).

Figure 4.21 shows the relationship between fairness of appraisal and self-efficacy for appraisal tasks moderated by group harmony.

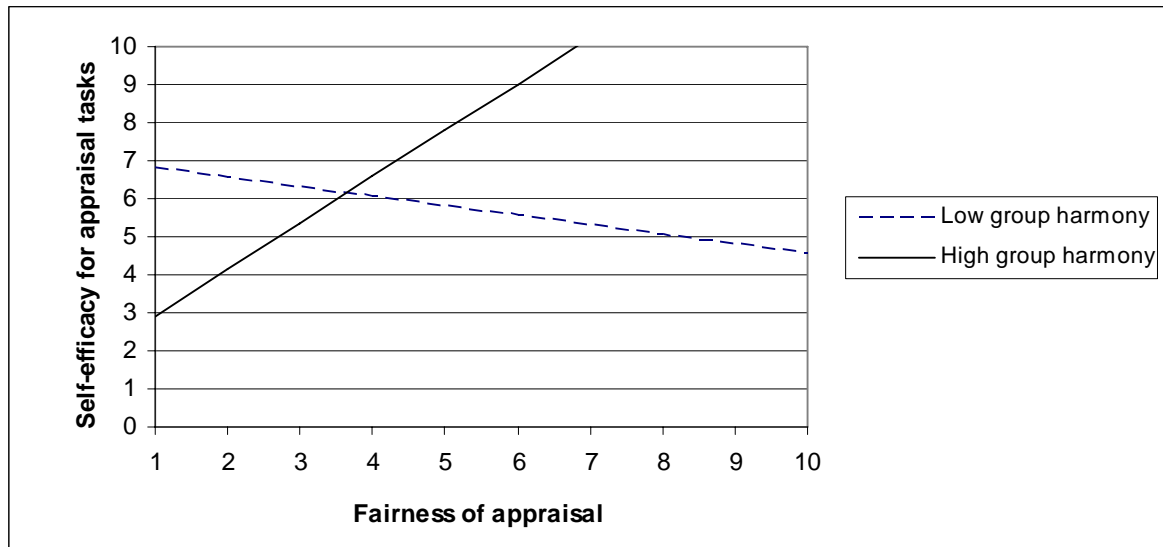


Figure 4.21. Moderating effect of group harmony on the relationship between fairness of appraisal and self-efficacy for appraisal tasks.

When the perceived fairness of appraisal was low, the low group harmony academics generally reported higher self-efficacy for appraisal tasks than the high group harmony group. Possibly, those academics with low group harmony and low perceived fairness of appraisal may have been more likely to rely on completing appraisal tasks rather than harmonious relationships for performance appraisal outcomes, and hence, were more self-efficacious for appraisal tasks. However, when the perceived fairness of appraisal increased, the high group harmony academics generally reported higher self-efficacy for appraisal tasks than the low group harmony group. Those academics with high perceived fairness of appraisal and high group harmony may have perceived the process to be fair when it was conducted in a climate of cooperation, and hence, enhanced their self-efficacy for appraisal tasks. Those academics who reported high perceived fairness of appraisal, but low group harmony, may have been less likely to depend on relationships for assistance and

support from colleagues and appraisers in performance appraisal, and hence, their self-efficacy for appraisal tasks was not enhanced.

Figure 4.22 shows the relationship between self-efficacy for appraisal tasks and openness to appraisal moderated by group harmony.

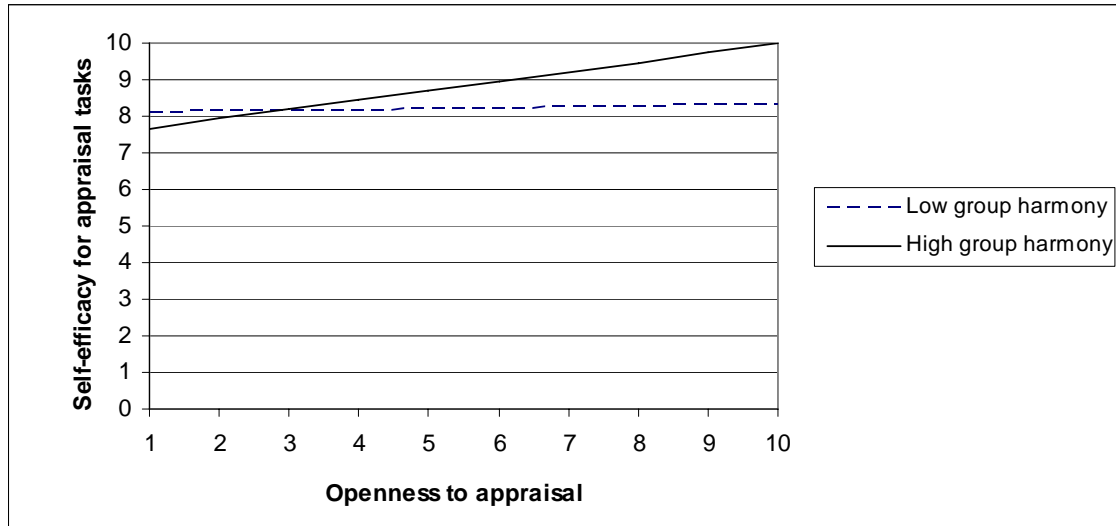


Figure 4.22. Moderating effect of group harmony on the relationship between openness to appraisal and self-efficacy for appraisal tasks.

The regression line of low group harmony group is nearly flat, so the point of interest is the high group harmony group. When openness to appraisal was high, the high group harmony group generally reported a higher level of self-efficacy for appraisal tasks. Possibly, those academics who had high openness to appraisal and high group harmony may have been likely to accept and engage in performance appraisal when it was conducted in an atmosphere of harmony, and hence, increased their self-efficacy for appraisal tasks.

Figure 4.23 facilitates the interpretation of the relationship between self-efficacy for lower order research activities and self-efficacy for appraisal tasks, moderated by openness to appraisal.

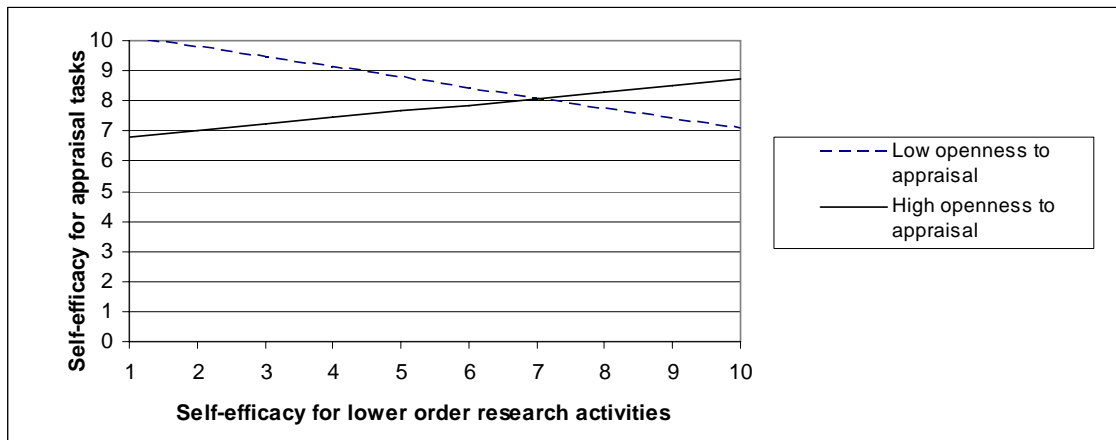


Figure 4.23. Moderating effect of openness to appraisal on the relationship between self-efficacy for lower order research activities and self-efficacy for appraisal tasks.

Both low and high openness to appraisal groups generally reported relatively high self-efficacy for performance appraisal tasks, irrespective of self-efficacy for lower order research activities. However, the point of interest is that when self-efficacy for lower order research activities was low, the low openness to appraisal group generally reported higher self-efficacy for appraisal tasks than the high openness to appraisal group. Possibly, those academics who perceived themselves to have low self-efficacy for lower order research activities and low openness to appraisal tasks may have tended to focus on appraisal tasks to complete performance appraisal processes, enhancing their self-efficacy for appraisal tasks. Those who perceived themselves to have low self-efficacy for lower order research activities but high openness to appraisal may have emphasised open appraisal communication with appraisers rather than completing appraisal tasks, and hence, generally were less self-efficacious for appraisal tasks than those with low openness to appraisal.

When self-efficacy for lower order research activities was high, the difference between the two groups of academics with low openness to appraisal and high openness to appraisal was reversed. An explanation is that the more self-efficacious the participants were for lower order research activities, the less likely they relied on open appraisal communication for successful performance appraisal outcomes.

4.4. Research questions

The results of statistical analyses answered the two research questions to some extent.

Regarding research question 1 examining relationships of demographic factors with academics' self-efficacy beliefs, the study found that academic qualification and academic rank were correlated with self-efficacy for research in the Australian sample. The findings are not surprising; academics holding a higher degree and being in a higher rank were likely to engage in more research activities, and accordingly, could enhance their self-efficacy for research. The results are consistent with some studies (Bailey, 1999; Hemmings & Kay, 2009; Vasil, 1992), however, Landino and Owen (1988), found academic rank had no relationship with research self-efficacy. The results partly reinforce a study by Lafferty and Fleming (2000), who noted relationships between academic ranks and gender in the Australian restructured university environment, and suggest that achieving a higher academic level, particularly for female academics, may be important for enhancing academics' research self-efficacy.

In the Vietnamese sample, age and academic qualifications were related to the level of self-efficacy for higher order research activities, and gender to self-efficacy for lower order research activities. In general, being older and holding higher academic

qualification, academics were likely to have more opportunities to participate in research activities, and consequently could have mastery experiences, which is the most important source of self-efficacy (Bandura, 1997). Gender was a significant, although relatively weak, predictor. Mean comparisons revealed that Vietnamese male academics generally reported being more self-efficacious for lower order research activities than their female colleagues. This is consistent with the findings that male academics are more likely to have higher self-efficacy for research than females (Hemmings & Kay, 2009; Vasil, 1992; Zhao, et al., 2008). The association between age and self-efficacy for teaching may be explained in that with age, academics generally were likely to gain teaching experience and skills, and accordingly have teaching successes, which arguably could enhance their self-efficacy for teaching. The result may reinforce the common concept of hierarchy observed in Confucian cultures where senior academics arguably can have more job opportunities and benefits than juniors (Hempel, 2001).

Regarding research question 2, investigating possible interactions between the variables in multiple regression models, the findings revealed a number of interactions in both Australian and Vietnamese samples. For the Australian sample, independence moderated the relationships between self-efficacy for research and self-efficacy for appraisal, and between self-efficacy for teaching and trust in appraisal. Interdependence moderated the relationships between self-efficacy for publishing academic books and self-efficacy for appraisal, and between self-efficacy for teaching and self-efficacy for appraisal.

For the Vietnamese sample, the relationships between self-efficacy for appraisal tasks and fairness of appraisal, and between self-efficacy for appraisal tasks and openness to appraisal were moderated by group harmony. In addition, fairness of appraisal moderated the relationship between self-efficacy for appraisal communication and self-efficacy for teaching. Openness to appraisal moderated the

relationship between self-efficacy for appraisal tasks and self-efficacy for lower order research activities. These results are relatively consistent with an earlier study (Wang & Yi, 2012) that suggested personal cultural orientations had moderating influences on people's perceptions of work justice.

The relationships between openness to appraisal and self-efficacy for lower order research activities, and between openness to appraisal and self-efficacy for teaching were moderated by self-efficacy for higher order research activities. Self-efficacy for lower order research activities was a moderator of the relationship of openness to appraisal and self-efficacy for teaching. Possibly, in Vietnamese university contexts, teaching has conventionally been emphasised in academic workload, and teaching and research have not always been separated clearly. An explanation of these interactions, which may be in support of Bandura's (1997) proposition, is that individuals are likely to enhance self-efficacy beliefs for tasks within the domain.

4.5. Comparisons of results of the Australian and Vietnamese samples

4.5.1. Factor analyses

Factor solutions were not directly comparable between the Australian and Vietnamese sample because the analyses did not produce all identical factors. A single factor trust in appraisal was generated from the Australian data, but two factors, fairness of appraisal and openness to appraisal, were produced from the Vietnamese data. This may reflect collectivist views of performance appraisal involving both performance and non-performance indicators observed within Vietnamese society, which consistently has been supported by literature on performance appraisal in cross-cultural contexts (Chiang & Birtch, 2010; Hempel, 2001).

The factor analysis of the idiocentrism and allocentrism items generated two identical factors: independence and interdependence from the two data sets, but from the Vietnamese data, an additional factor, group harmony, was identified. It is reasonable that both Australian and Vietnamese academics recognised independent and interdependent self-construals because individuals can be idiocentric and allocentric in different contexts (Triandis, et al., 1985). However, the additional factor, group harmony, may be attributed to Vietnamese Confucian cultural characteristics (Nguyen, Terlouw, & Pilot, 2005; Tan & Tambyah, 2011), which arguably tend to encourage in-group relationships, and avoidance of confrontation in communication (Chiang & Birtch, 2010; Hempel, 2001).

With regards to research and teaching self-efficacy items, self-efficacy for teaching, self-efficacy for research, and self-efficacy for publishing academic books scales were generated from in the Australian data, while self-efficacy for teaching, self-efficacy for lower order research activities, and self-efficacy for higher order research activities scales were generated from the Vietnamese data. The differences between these research self-efficacy factors may be attributed to different academic working environments in the two countries. Many Australian universities have prioritised research activities, and research productivity, including publications, which has generally accounted for academic achievements (Garrett-Jones & Turpin, 2012). In such research-focused situations, Australian academics may have developed and strengthened their self-efficacy for research, and this may explain why a separate factor, self-efficacy for publishing academic books, was generated. Unlike their Australian counterparts, Vietnamese academics may have tended to classify research activities according to their level of difficulty. The differentiation may be explained in that, due to variations in qualifications and research experiences (Hayden & Lam, 2010), Vietnamese academics may have been likely to develop beliefs in their capabilities to carry out either relatively easy research tasks,

generally involving cooperation, or complex research tasks, generally requiring more self-directedness.

The factor analysis of performance appraisal self-efficacy items in the Australian data produced a single factor, self-efficacy for appraisal, while two factors, self-efficacy for appraisal communication and self-efficacy for appraisal tasks, were generated from the Vietnamese data. An explanation for the separation of these two factors may be that Vietnamese academics may have placed importance on relationships and cooperation between appraisers and appraisees for successful performance appraisal outcomes, which may characterise Vietnamese collectivist culture (Hoang, 2008).

4.5.2. Regression analyses

Regression analyses were conducted with data from the Australian and Vietnamese samples independently to test the posited hypotheses. The key findings of the study are that self-efficacy for research is the strongest predictor of self-efficacy for appraisal in the Australian sample. Other significant but weak predictors are self-efficacy for teaching and trust in appraisal. However, for the Vietnamese sample, self-efficacy for teaching is a strong predictor of both self-efficacy for appraisal communication and self-efficacy for appraisal tasks. These differences may be attributed to differing situations of universities in the two countries. In many Australian universities, research is emphasised and generally is important for performance appraisal (Blackmore & Blackwell, 2003). In research-intensive environments, academics are likely to engage in research activities, and consequently have mastery experiences, which is the most important source of self-efficacy (Bandura, 1997). The positive association between self-efficacy for research and self-efficacy for appraisal makes sense in that academics who have high self-efficacy for research generally are likely to achieve research outcomes, and accordingly, are likely to develop strong beliefs in their capabilities to complete

performance appraisal. In many Vietnamese universities, teaching is traditionally separated from research (Harman & Nguyen, 2010), and performance appraisal outcomes generally are based on teaching achievements (Nguyen, 2001). It makes sense that Vietnamese academics, who have high self-efficacy for teaching, generally are likely to focus on teaching achievements, and enhance self-efficacy for communicating appraisal feedback and completing appraisal tasks.

For both the Australian and Vietnamese samples, interdependence is a statistically significant predictor of trust factors. This may highlight contradictory findings in previous studies examining the influence of individualism and collectivism on trust in workplaces. On the one hand, some research has connected trust with collectivist cultures (Ovaice, 2001; Shaffer & O' Hara, 1995). Alternatively, other studies have found that levels of trust generally were higher in individualist cultures (Huff & Kelley, 2003; Yamagishi, et al., 1998; Yamagishi & Yamagishi, 1994). The positive association of interdependence with trust factors makes sense in this study because shared goals and in-group relationships generally are important in performance appraisal processes, and arguably trust is created with interrelatedness (Mayer & Davis, 1999).

Contrary to predictions, independence is not correlated with self-efficacy for research in either sample, and interdependence is a statistically significant predictor of self-efficacy for lower order research activities in the Vietnamese sample (see Section 4.3.3.8.2). This finding is at odds with the results of Zhao, McCormick, and Hoekman (2008), who found both self-efficacy for higher order research activities and self-efficacy for lower order research activities were positively related to independent identity, albeit with a small effect size. These authors noted that a number of idiocentrism and allocentrism factors may not predict self-efficacy for research in the expected way, and that limited characteristics of idiocentrism and allocentrism may play a role in the formation of self-efficacy for research. The

explanation for the association between interdependence and self-efficacy for lower order research activities in the Vietnamese sample may be due to relatively poor qualifications of academic staff, and lack of research experience (Harman, et al., 2010). Vietnamese academics may have been likely to rely on cooperation to engage in participative research, which characterises self-efficacy for lower order research activities. Although the results pointed to the relationship of allocentrism with self-efficacy for research to some extent, the explanation offered for the relationship is only speculative.

4.5.3. Discriminant analysis

To make direct comparisons between the Australian and Vietnamese samples, discriminant analysis, a technique to investigate differences between groups, was employed with respect to common factors derived from the factor analyses: independence, interdependence, self-efficacy for research, self-efficacy for teaching, self-efficacy for appraisal, and trust in appraisal. For the Vietnamese data, fairness of appraisal and openness to appraisal were combined into the factor trust in appraisal, which was represented by identical items in the corresponding factor analysis of the Australian data. Similarly, self-efficacy for higher order research activities and self-efficacy for lower order research activities were converted into self-efficacy for research, and self-efficacy for appraisal communication and self-efficacy for appraisal tasks into self-efficacy for appraisal from the Vietnamese data. These comparable factors were represented by identical items in the corresponding factor analysis of the Australian data. As self-efficacy for publishing academic books was not identified in the factor analysis of Vietnamese data, this variable was not entered in the model. A stepwise procedure was employed to maximise the discriminating power of the model.

As discriminant analysis provides a direct comparison of the two data sets, standardisation of the factor scores of the six variables was carried out with the aim

to account for possible response biases as addressed in cross-cultural research literature (Fischer, 2004; Van de Vijver & Leung, 1997; Yamaguchi, et al., 1995). Discriminant analysis first was employed using within-person standardisation, and then double standardisation. However, the discriminant analyses of standardised scores did not produce any statistically significant results. As argued by a group of researchers (Matsumoto, et al., 1997), statistical results may be different when using standardised scores compared with unstandardised scores because cultural differences in average scores may not be exclusively due to response bias, but may reflect meaningful variation. Therefore, the discriminant model was repeated with the unstandardised scores of the six independent variables. Table 4.29 summarises the results of the discriminant analysis model.

Overall, the function indicates a relatively high degree of separation between Australian and Vietnamese groups of academics. The three strongest discriminators are independence, self-efficacy for research, and interdependence.

Table 4.29

Stepwise (Mahalanobis) Discriminant Analysis of Australian and Vietnamese Groups of Academics

Variables	Means		Wilks Lambda	Minimum D ²	Structure Loadings
	Australia	Vietnam			
Independence	3.07	2.01	.69***	1.83	.60
Self-efficacy for research	8.59	6.11	.52***	3.69	.59
Interdependence	2.88	3.41	.46***	4.76	-.43
Trust in appraisal	2.47	2.79	.45***	4.94	-.17
Self-efficacy for teaching	9.23	8.60	.44***	5.13	.27
Group centroids	.10	-1.27			
Canonical correlation:	.75				
Chi-square:	301.45 (<i>df</i> = 5)***				

Note. *** $p < .001$. *df*, degrees of freedom

Australian academics generally had higher independence, and the Vietnamese academics generally higher interdependence, which is not surprising, and consistent with previous research findings about idiocentric and allocentric tendencies (Kolstad & Horpestad, 2009; Triandis, et al., 1985). Self-efficacy for research generally was higher for the Australian sample than the Vietnamese sample. As mentioned earlier, in many Australian universities research activities have been prioritised (Brew, 2010; Garrett-Jones & Turpin, 2012; Harman, 2003), and it makes sense that Australian academics may have been likely to enhance their self-efficacy for research in such research-intensive environments. In Vietnam, some recent findings (Harman & Le, 2010; Hayden & Lam, 2010; V. T. Nguyen, 2011) have suggested that poor research productivity in terms of both quality and quantity is a common concern in Vietnamese universities, which may have been likely to affect Vietnamese academics' self-efficacy for research.

Trust in appraisal generally was higher for the Vietnamese sample than the Australian sample. However, as the mean difference between the two samples and the structure loading of this variable was not substantial, one should not make too much of this result.

It is important to acknowledge conflicting results in the three discriminant analyses. However, it is logical to interpret the statistically significant results. One interesting finding from the discriminant analysis is that the Australian academics generally reported higher self-efficacy for teaching than their Vietnamese colleagues. An explanation may be that in Vietnamese university contexts, heavy teaching loads, scarcity of qualified academic staff, out-dated curriculum and textbooks, and lack of teaching support such as modern teaching facilities, high-grade computing availability and up-to-date laboratories (Harman & Nguyen, 2010) may have been likely to affect Vietnamese academics' self-efficacy for teaching.

4.6. Chapter summary

The results of the quantitative analyses of the Australian and Vietnamese data, which were conducted and analysed independently, were reported and discussed in this chapter. Proposed hypotheses were tested and research questions addressed. Comparisons between the two samples were carried out by discriminant analysis. The results of qualitative data analysis are discussed in the following chapter.

CHAPTER FIVE – QUALITATIVE ANALYSIS

5.1. Introduction

This chapter presents the results of qualitative analysis of data from the survey, employing thematic analysis. First, analyses of the free responses of the Australian and Vietnamese participants are reported. Second, comparisons of the two samples are presented.

5.2. Australian participants' free responses

Of the 263 participants, 148 provided observations or reflections regarding the processes of performance appraisals in their universities. The key concepts of the responses were first identified then grouped into categories (CAT); finally, themes were developed based on these categories. Twenty-five categories were identified and classified into four themes: *description of performance appraisal*, *satisfaction with performance appraisal*, *dissatisfaction with performance appraisal*, and *performance appraisal improvements*. In the following sections, direct quotations are used to assist interpretation. For the sake of accuracy and consistency, exact words are replicated, even when English expression is incorrect.

5.2.1. Description of performance appraisal

Some Australian academics described performance appraisal practices by stating *purposes of performance appraisal* (CAT 1), indicating *implementation of performance appraisal* (CAT 2) or describing *procedures of performance appraisal* (CAT 3). Table 5.1 shows the theme, categories and frequency of responses.

Common purposes of the process were perceived by many academics to be related to improvement of staff performance. For example, one academic wrote “professional development has been the main priority of my faculty performance review process”.

Table 5.1

Description of Performance Appraisal in Australian universities

Theme	Categories	Frequency
Description of performance appraisal	Purposes of performance appraisal (CAT 1)	4
	Status of performance appraisal (CAT 2)	5
	Procedures of performance appraisal (CAT 3)	8

In a similar vein, another commented “I grew to really like the process and have benefited greatly. They allowed me to discuss plans, goals and areas that I needed help in”. However, some academics questioned the link between staff appraisal and staff development. One academic wrote, “I think it is functional rather than developmental”. Another commented “It [performance appraisal] has too long been a mere administrative exercise”. These responses reveal uncertainty among participants about the intentions of performance appraisal and are consistent with previous research findings about Australian academics’ views of purposes of performance appraisal (James, 1995a).

Status of performance appraisal (CAT 2) refers to academics’ observations on implementation of performance appraisal. For example, some academics indicated changes of performance appraisal practice at their universities as “moving from a fairly straightforward paper-based model to a complicated and seemingly time-consuming electronic model”, or “a move from quality to quantity”. Five academics noted that staff management in universities had been influenced by corporate models, and expressed doubts regarding their effectiveness when business practices were implemented in academic settings. One academic wrote:

I fear that the performance appraisal model is based on a corporate model, and has been uncritically implemented in universities. I do not feel that performance appraisal is appropriate in universities for the kind of work I do.

Another noted differences between performance appraisals in universities and in the business world:

In private enterprise my performance was more easily quantified and rewarded, so the appraisal process was meaningful. However, in the university the only real benefit is a structured opportunity to discuss issues with the head of school.

These views seem relevant to movements to apply an executive style of performance management, including performance appraisal in universities, similar to that reported by Haslam, Bryman, and Webb (1992). However, due to the limited number of responses, any assertions would require future investigation.

Some academics commented on *procedures of performance appraisal* (CAT 3). The convention of having annual performance appraisal was supported by one academic in that “once a year is not particularly invasive”. For another, “appraisals are done somewhat randomly”. From one academic’s perspective, the process was described as “a well structured performance appraisal system developed by the Human Resources unit”, and for another, performance appraisal was a “multi-tiered system; we combine a yearly academic appraisal in consultation with the head of department with once-a-semester student appraisals of our unit content and teaching delivery”. Some academics reported changes in implementation of performance appraisal. An explanation may be that these academics reported performance appraisal processes they underwent in different departments or universities in past years. For example, one academic commented “It is hard to make generalisations about the performance appraisal process – in the last decade I have had my performance appraisal by four people”. In a similar vein, another wrote:

These comments reflect my experience of performance appraisal at my current university, which is the fourth institution in which I have worked and been appraised. My current work pattern requires one formal performance

review per annum, but also a separate review of performance positional confirmation. I have also been interviewed on four occasions as part of our promotion process”.

Another remarked:

The process has been very inconsistent – not always completed. Sometimes done retrospectively. Sometimes several years done at once. Appears to be improving/tightening up.

5.2.2. Satisfaction with performance appraisal

Academics expressed their satisfaction with performance appraisal with respect to *agreement with performance appraisal* (CAT 4), *trust in appraisers* (CAT 5), *necessity of performance appraisal* (CAT 6), and *fairness of performance appraisal* (CAT 7) (see Table 5.2).

Table 5.2

Satisfaction with Performance Appraisal

Theme	Categories	Frequency
Satisfaction with performance appraisal	Agreement with performance appraisal (CAT 4)	6
	Trust in appraisers (CAT 5)	7
	Necessity of performance appraisal (CAT 6)	4
	Fairness of performance appraisal (CAT 7)	5

Some academics were in favour of performance appraisals. For one academic, “it is a good, sympathetic – and to a certain degree protective”. Another wrote “the appraisals usually go well (mine have been very good)”. One academic compared his or her appraisal experiences with colleagues:

My appraisals are very benign, but I have been surprised, when at workshops about the system, to hear that many of my colleagues, especially those in professional positions, who feel threatened by the system and feel that they will not be fairly assessed by their supervisor.

It may be of interest to note that four out of five academics who expressed positive attitudes towards performance appraisal referred to the supportive role played by their appraisers, making their appraisals comfortable. These views are in line with some academics who expressed their satisfaction with performance appraisal when they had trust in appraisers. The positive association between appraisees' satisfaction with performance appraisal and trust in appraisers has also been reported in performance appraisal literature (Reinke, 2003). One academic wrote "The validity and comfort of the performance appraisal is directly connected to the sense of trust in the professional integrity of the appraiser". In a similar vein, another expressed confidence in the appraiser:

The success of the appraisal process is really dependent upon the people who implement it on behalf of the university. To this end, I have great confidence in my supervisor and her capacity to ensure there is equality and equity in the way appraisal is undertaken.

Some academics suggested performance appraisal was a vital tool for academic development in universities. They believed the process would improve performance of both their work and their departments. Typical comments were: performance appraisal "provides good opportunity for self-assessment of performance goals and planing" and "gives me a roadmap, provides some milestones to meet". The process was regarded as particularly more beneficial for young academics, who generally required more professional training. Sharing this opinion, one academic supported the idea of implementing performance appraisal for academic staff in early career stages:

Performance appraisal can be very beneficial for junior academics. Generally, I feel that I don't get any benefit from the process when I am being appraised as I am very aware of what I need to do and have no problems setting and achieving my own goals. I do, however, often find the procedure beneficial for more junior staff when it is approached in a constructive way.

Some academics expressed satisfaction with performance appraisal when they perceived the process to be fair. This is consistent with research findings about the mediating role of trust in performance appraisals (Jawahar, 2007; Mayer & Davis, 1999), and significantly, supports the factor analysis results, which identified the factor, trust in performance appraisal (see Section 4.2.4.3). One academic remarked:

The performance appraisals which I have experienced have been fair, collegial and very useful. I would like to see these appraisals extended to sessional and part-time teachers as I believe this would assist many of them in developing career paths.

Some academics who perceived the process to be trustworthy were also concerned about its effectiveness to some extent. One noted:

It [Performance appraisal] is done fairly and respectfully but I don't think it means very much at all. There is no sense of working together to enhance performance.

In general, respondents' opinions of performance appraisal were divided about its effectiveness in previous research findings on performance appraisals in academic settings (Haslam, et al., 1992; James, 1995a; Rutherford, 1988). Therefore, it is not surprising that despite some favourable reactions, there were a number of academics who expressed dissatisfaction with performance appraisal and suggested reasons for its perceived ineffectiveness.

5.2.3. Dissatisfaction with performance appraisal

A number of academics expressed dissatisfaction with performance appraisal, usually associated with opposition to the concept of appraisal as a whole. The critical attitudes towards this “bureaucratic exercise” are not unexpected as they are consistent with performance appraisal literature (Haslam, et al., 1992; James, 1995a). However, unlike some previous studies investigating academics’ responses to given items or structured questions, the significant contribution of this part of the survey is that as the question is not structured, academics could provide their responses related to various aspects of performance appraisal. In general, many academics commented on reasons for their dissatisfaction with performance appraisal. Table 5.3 shows different reasons, which were separated into 17 categories.

Many academics commented on *limited purposes of performance appraisal* (CAT 8) indicating that the process did not have clear purposes or did not meet academics’ professional developmental needs. Perceiving lack of purposes in performance appraisal, some academics experienced it to be like “a time-consuming box ticking” or a “bean-counting exercise”. One academic wrote “The review cannot meet my professional development needs. It is outdated”. Another remarked:

Performance appraisal is a hollow bureaucratic step that we do. Why do we do it? It is certainly not used to support staff or, in our case, as a tool for disciplining chronically under-performing staff. At one stage it was said it would be linked to salary bonuses but I’ve never heard of it being linked to professional development.

These sceptical views regarding the purposes of the schemes are consistent with existing literature (James, 1995a). In general, responses reflected academics’ expectations of staff appraisal in relation to identifying professional development needs and increasing staff motivation.

Table 5.3

Dissatisfaction with Performance Appraisal

Theme	Categories	Frequency
Dissatisfaction with performance appraisal	Limited purposes of performance appraisal (CAT 8)	21
	Lack of relevant appraisal criteria (CAT 9)	10
	Failure to measure academics' workloads (CAT 10)	10
	Lack of accuracy (CAT 11)	5
	Appraiser's favouritism (CAT 12)	14
	Appraiser's lack of expertise (CAT 13)	11
	Appraiser's lack of commitment (CAT 14)	3
	Mismatch between expectations and outcomes (CAT 15)	3
	Limited sources of rating (CAT 16)	3
	Lack of discussion (CAT 17)	3
	Lack of feedback (CAT 18)	7
	Lack of follow-up activities (CAT 19)	2
	Lack of transparency (CAT 20)	5
	Lack of resources (CAT 21)	5
	Lack of engagement (CAT 22)	7
	Upper management interference (CAT 23)	8
	Time to conduct performance appraisal (CAT 24)	1

In addition to limited purposes of performance appraisal, another reason for the perceived ineffectiveness of the process was indicated as *lack of relevant appraisal criteria* (CAT 9). One academic complained that “criteria for appraisals and level of achievement noted are vague if not, non-existent”. A common concern with appraisal criteria was that they were “unrealistic” and “used for staff at all levels”, but “the current workload models for staff vary across different departments”.

Failure to measure academics' workloads (CAT 10) was another reason for some academics' dissatisfaction with performance appraisal. Nine academics raised concern about their academic workloads that were not fully recognised in performance appraisal results due to appraisal methods and procedures. One academic commented:

Appraisal is not beneficial to anyone who works significantly over 100% workload. The workload is not seriously assessed and they end up with the same outcomes as those who work at 80-100%.

Another noted the problem of measuring research and teaching workload:

Too much emphasis on research outcomes not enough on undertaking research or submitting applications for grants etc – i.e. only successful ones count – hours of preparation etc do not. Teaching is undervalued. Time and effort in consulting students and advising ad hoc working parties etc which counts for very little but is time consuming.

The conflict between valuing teaching and valuing research related to performance appraisal has been particularly salient in some Australian universities dating back to the amalgamation of colleges of advanced education (CAEs) and universities in the late 1980s and the early 1990s (Ledgar, 1996; Lyons & Ingersoll, 2010). Because academics from the former colleges mainly were involved in teaching (Harman, 1977), it is likely that they may have placed more importance on teaching, whereas their colleagues in established universities generally undertook both teaching and research activities, and research productivity generally is accounted for in performance appraisal outcomes (ÅKerlind, 2005; McInnis, 2000). However, it should be noted that the number of the participants in this study who worked in CAEs is unknown.

Some academics expressed concerns about accuracy of performance appraisal (CAT 11). One wrote “Most academics are, by nature, high performers but the rating scale does not reflect this – or this between discipline differences”. Along similar lines, another commented “The design of the form has no connection to the reality of what we do every day nor does it provide an accurate measure of our achievements”.

A number of academics were critical of the role of appraisers (CAT 12) because “it is a process depending very much on the personal one-to-one relationship between the supervisor and subordinate”. In general, appraisees are less likely to have trust in performance appraisal when they perceive appraisers to have emotional judgments or favouritism (Fulk, et al., 1985). One academic wrote “The quality of the experience is very dependant on the individual charged with doing the evaluation and it can be tainted by favouritism”. Commenting on influence of subjective judgements, the same academic continued “you can go from being praised by one supervisor one year to being told it’s not good enough the next year with a different supervisor even when your outputs and service and teaching scores have all improved”. Another noted this serious situation:

Only successful when I feel sense of having relationship with supervisor conducting the exercise, otherwise it is approached cynically and/or opportunistically ... thus openness is replaced by leverage.

Appraiser’s lack of expertise (CAT 13) was reported as negatively affecting attitudes towards performance appraisal. Commenting on weak appraisers, one remarked “There is no point doing performance appraisals when the appraisers mostly have very little in-depth understanding of what they are appraising”. In a similar vein, another commented:

I have more experience in research than my academic supervisor who undertook the appraisal. She asked me for publishing advice during the appraisal. She also had no idea what she was doing.

Sharing this opinion, another wrote:

Associate professors are often rated by junior staff and so it is often hard to determine how they can assist with the process when they have not achieved the same level, so their advice seems interesting to say the least.

These critical attitudes towards the quality of appraisers are not unexpected and are relatively in line with some discussions about who should primarily be responsible for appraising academics. Generally, academics have been found to be in favour of their appraisals being carried out by heads of department or other senior colleagues (Rutherford, 1988).

Some academics expressed their concern for *appraiser's lack of commitment* (CAT 14). One remarked “my supervisor does not consider it to be an important process”. Another wrote “I don’t trust the HOS who has demonstrated a complete lack of professional commitment to the process”. One described a situation:

Our performance appraisal system is a joke. One year I deliberately did not fill out the forms to see what happened; nothing is the answer. I have never completed the form for that year (2008). My last two performances have been less than ideal. I was not confident that my Head of School had even read the document I submitted or was even interested in discussing the issues that I had raised.

Some academics perceived a *mismatch between expectations and outcomes* (CAT 15) as a reason for their dissatisfaction. One wrote “I stay in level B step 6 for many years without promotion. During this period, I have published around 30 journals/conference papers and have had very heavy teaching duties.” Another indicated that there was a “major disconnect between my research achievements and the performance review process”.

Limited sources of rating (CAT 16) refer to insufficient information available for appraisal decisions. Some academics expressed doubts regarding student appraisals of teaching. One wrote “Too much weight is put onto student evaluations of teaching at present as it tends to be the only source of information available”. Commenting on potential disadvantages of using limited sources of rating, the same academic continued “Reliance on one source of information such as student evaluations, or impact factor of a journal, to assess teaching and research performance respectively is an incomplete appraisal”. In a similar vein, another wrote “too much reliance is place student evaluations which are fraught with problems”.

Lack of discussion (CAT 17), *lack of feedback communication* (CAT 18) and *lack of follow-up activities* (CAT 19) were perceived by some to cause ineffectiveness of performance appraisal. The process generally is likely to be effective when there is sufficient two-way communication to clarify goals, responsibilities and training needs, and to acknowledge achievements (Haslam, et al., 1992; Reinke, 2003). However, some academics expressed reservations about the way the schemes were implemented. For example, one noted “we have a form-filling exercise without any discussions with staff who we work with. I find the process bureaucratic and meaningless”. In addition, one of the purposes of performance appraisal is to provide performance-based feedback to appraisees (Jawahar, 2006; Roberts & Reed, 1996). It makes sense that academics may have negative reactions when there is not sufficient feedback communication. One academic expressed disappointment at the process:

I never receive the end result of the process. The results seem to disappear into the ethers. I would like to learn the end result and why the decisions were made.

Another remarked:

I have not been given any ratings or much feedback from my supervisor except a few ‘good’ comments. It appears a necessary task for him rather than useful feedback.

Commenting on the problem of not having relevant subsequent activities in a performance appraisal cycle, one academic criticised his or her appraiser:

I was left with the impression that he was performing the task so that he could tell his Dean that it had been done (i.e., managerial ticking the boxes). There is no follow up on issues (i.e., mid-year reviews). There is no effective mentoring.

Conventionally, it is expected that performance appraisal results should be followed up with sanctions against unsatisfactory academics and incentives for satisfactory ones; otherwise, appraisals may impair participants’ expectations of engaging in the process for improved performance (Haslam, et al., 1992).

Lack of transparency (CAT 20) and *lack of resources* (CAT 21) are also concerns raised by some academics. One academic remarked “process is never explained properly. New ways of implementing suddenly thrust upon us without explanation”. Another wrote “university does not have a transparent management structure, therefore staff assessments of the university performance as a whole is ignored”. These critical views reflect academics’ expectations that they would judge the scheme to have been a success when they found it accountable and informative. However, due to the limited number of responses, any conclusions need to be drawn with caution.

Some academics commented on restrictions on the planning of staff developmental opportunities due to resource constraints. For one academic, “Staff development is

constrained by funding”. In a similar vein, another academic stressed the problem when commenting that “lack of funding has repressed advancement”.

Lack of engagement (CAT 22) and *upper management level interference* (CAT 23) in appraisal, according to some academics, are reasons for their dissatisfaction with performance appraisal. The process generally is not taken seriously when academics perceived the process to be inaccurate or unfair, as indicated by one academic, “because of a general climate of skepticism about how HR might use that is said on paper, so staff are reluctant to fully engage”.

Upper management interference (CAT 23), in some academics’ views, refers to influences on performance appraisal results by university management. One criticised the system:

The appraisals usually go well (mine have been very good), but then, higher up in the university, some results have been altered, i.e., the appraiser’s ratings have been overruled.

In a similar vein, another commented:

At the political and institutional level, I find it intrusive, managerialist and offensive. Rather than promote professionalism it in fact subverts it because on one level the institution of the university is saying loudly that it doesn’t trust its academics.

These negative attitudes towards hierarchical influences in performance appraisals are relatively congruent with those in a previous study (Haslam, et al., 1992) reporting that the climate in Australian universities had become more managerial and directive. However, this requires further investigation due to the limited number of responses.

The *time to conduct performance appraisal* (CAT 24) was also raised as a reason that may affect performance appraisal when it was conducted during academic busy periods. From one academic's experience, "performance appraisals often requested at busy time of semester". However, as this concern was raised by only one participant, it would be unwise to make too much of this result.

5.2.4. Performance appraisal improvements

A number of academics' comments are *suggestions to improve performance appraisal* (CAT 25) (see Table 5.4).

Table 5.4

Performance Appraisal Improvements

Theme	Category	Frequency
Performance appraisal improvements	Suggestions for improvements (CAT 25)	12

In general, the suggestions accompanied the stated problems in performance appraisal practice experienced by the academics. The suggestions for improvements generally involve developing specific appraisal criteria, providing training to appraisers, creating a cooperative climate, providing useful feedback, and using multi-source rating. One wrote "I would suggest that more transparent and meaningful training for assessors". Another suggested "there should be some peer appraisal of our teaching". For one academic, "in order to avoid subjectivity in self-appraisal, the performance process should take into account what really happens in the classroom and look at student evaluation results as well". Another stated that "the best and most appropriate form of assessment for professional academics is through the direct observation and interview of a suitably experienced senior staff member".

5.3. Vietnamese participants' free responses

One hundred and forty-six of 244 participants provided comments related to performance appraisal in their Vietnamese universities. These comments were translated into English before employing thematic analysis. The translation was carried out by the researcher and then checked for contextual meaning by a bilingual Vietnamese academic. Categories of key concepts from participants' responses were identified and classified into themes for interpretation. Four themes were developed: *description of performance appraisal*, *satisfaction with performance appraisal*, *dissatisfaction with performance appraisal*, and *performance appraisal improvements*.

5.3.1. Description of performance appraisal

The first theme, *description of performance appraisal*, is composed of three categories: *procedures of performance appraisal* (CAT 1), *sources of rating* (CAT 2), and *purposes of performance appraisal* (CAT 3) (see Table 5.5).

Table 5.5

Description of Performance Appraisal in Vietnamese universities

Theme	Categories	Frequency
Description of performance appraisal	Procedures of performance appraisal (CAT 1)	21
	Sources of rating (CAT 2)	20
	Purposes of performance appraisal (CAT 3)	15

Describing procedures of performance appraisal, most academics indicated that the process was conducted yearly. Some academics explained steps followed to conduct performance appraisals. For example, one wrote:

In my university, we have annual staff performance appraisal. Every academic completes a self-appraisal report and the department has review

meetings. Student evaluations are also an important channel of information. At the end of the academic year, academics who are rated 'excellent' can get promotion.

For some academics, "the Department of Quality Assurance was responsible for administering performance appraisals to all academic staff", and for others, performance appraisal consisted of "informal meetings" organised by department heads. For one academic, "performance appraisal was mainly applicable to junior academics with the aim to provide guidance and assistance for their better teaching performance". Like some of their Australian counterparts, some Vietnamese academics considered performance appraisal to be more productive for junior staff. One academic stressed the importance of performance appraisal for academics during probation. In that academic's university, academics in early career stages were appraised more frequently than senior academics.

Student evaluations in most cases were the main source for rating of teaching, in addition to self-appraisals and peer appraisals. Generally, most academics were against the use of student appraisals of teaching as they believed that students were not always the best judges of what should be taught. The perceived irrelevance of student evaluations in performance appraisal is discussed in greater detail in the next section.

Fifteen academics commented on purposes of performance appraisal. Most considered performance appraisal a tool for both academics and universities to improve performance. One wrote:

Staff appraisal is important because the appraisal results can be beneficial not only for the administration to monitor staff, provide necessary programs for professional development and decide tenure, but also for the academics to identify their strengths and weaknesses and to propose developmental plans.

Some academics considered performance appraisal “an opportunity to promote cooperation at the workplace” and “communicate performance feedback”. However, some expressed doubts regarding benefits of the process because they perceived the process “an annual routine” or “a bureaucratic exercise”. In general, respondents’ different opinions of performance appraisal are consistent with literature discussing the use of the process for developmental or administrative purposes (James, 1995a; Lonsdale, 1998).

5.3.2. Satisfaction with performance appraisal

A number of academics stressed the *necessity of performance appraisal* (CAT 4) and expressed their satisfaction with the *implementation of performance appraisal* (CAT 5) at their universities (see Table 5.6).

Table 5.6

Satisfaction with Performance Appraisal

Theme	Categories	Frequency
Satisfaction with performance appraisal	The necessity of performance appraisal (CAT 4)	17
	Implementation of performance appraisal (CAT 5)	21

Seventeen academics acknowledged the usefulness of performance appraisal in relation to their professional development. Typical comments were “staff appraisal is very necessary as it helps academics to improve teaching quality”, “I find it extremely necessary to help me recognise strengths and weaknesses for the past year and assist to develop future plans”, and “peer appraisals are useful”. Some academics expressed their satisfaction, indicating agreement with the current implementation of performance appraisals at their universities. For one academic, “staff appraisal is conducted fairly well and seriously”. For another, “the annual

performance appraisal accurately measures academics' performance and achievements". Some others provided short responses such as "very good", "good" and "acceptable".

5.3.3. Dissatisfaction with performance appraisal

Despite the number of positive comments about performance appraisal, the large majority of academics generally expressed dissatisfaction with performance appraisal regarding it as a "bureaucratic exercise". Table 5.7 shows reasons for academics' dissatisfaction with performance appraisal.

The responses of a number of academics suggested dissatisfaction when their performance appraisal was based on only student evaluations (CAT 6). In general, academics expressed doubts regarding the usefulness of student appraisals of teaching because "students are not serious with evaluations", or "their [students'] personal preferences are very common". One academic wrote:

Students who are graded satisfactorily may have good ratings for their lecturers, but students who are not serious with study may take this chance [course evaluations] to criticise their lecturers.

For one academic, the use of student evaluations was not appropriate in the Vietnamese culture because of the traditional central role of lecturers in classrooms. Another accepted student evaluations but expressed concern about maintaining confidentiality as a result of face-saving for academics. For others, student evaluations were appropriate when used as "one channel of information" in addition to self-appraisals and peer-appraisals. These views are relatively consistent with a study (Nguyen & McInnis, 2002) on reactions of academics towards student evaluations in Vietnamese contexts.

Table 5.7

Dissatisfaction with Performance Appraisal

Theme	Categories	Frequency
Dissatisfaction with performance appraisal	Irrelevance of students' evaluation of teaching (CAT 6)	18
	Lack of relevant appraisal criteria (CAT 7)	24
	Lack of transparency (CAT 8)	5
	Lack of fairness (CAT 9)	30
	Lack of accuracy (CAT 10)	11
	Limited purposes (CAT 11)	5
	Lack of feedback communication (CAT 12)	3
	Lack of follow-up activities (CAT 13)	2
	Appraiser's lack of expertise (CAT 14)	3
	Hierarchical decisions (CAT 15)	5
	Time to conduct performance appraisal (CAT 16)	2

Some academics raised concern about *lack of relevant appraisal criteria* (CAT 7). The use of the same appraisal criteria for both academic and administrative staff, or academics in different disciplines, was considered not appropriate by some. For example, some academics wrote, “the appraisal questions are general” and “appraisal content is not on academic responsibilities”. One criticised the process:

The process of performance appraisal is not scientific and objective because there are not specific evaluation criteria yet. The results are mainly dependent on students' evaluations, but not based on other sources of information such as teaching and research achievements.

In a similar vein, some academics raised concerns when performance appraisal focused on non-performance indicators, and therefore “the results were not reliable” and “appraisal decisions were emotional”. The problem of not having specific appraisal criteria based on key performance indicators expressed by a number of

academics in this survey is not dissimilar to that reported in some research on performance appraisals in collectivist cultures (Hempel, 2001; Nguyen, 2008). In general, non-performance factors such as relationships and personal characteristics are important for performance appraisal outcomes. In response to the stated problem, one academic suggested using knowledge of western universities' appraisal models to modify appraisal criteria in Vietnamese contexts.

Many academics were not satisfied due to a perceived *lack of transparency* (CAT 8) and *lack of fairness* (CAT 9) of performance appraisals. Stressing the importance of transparency in performance appraisal, one academic wrote “academics’ engagement in performance appraisal necessarily results from its transparency”. In general, the respondents indicated two areas which needed to be clear and informative: appraisal criteria and appraisal results. Thirty academics perceived the process unfair, generally as a result of favouritism and seniority. In the Vietnamese Confucian culture, senior academics generally are respected and receive more job privileges than junior ones, but seniority-based practices may cause inequality (Gosseries, 2004). The relatively high number of academics who expressed concern about the fairness of performance appraisal supports to some extent the results of factor analyses, which generated two separate factors related to trust in appraisal, fairness of appraisal and openness to appraisal (see Section 4.3.3.3). For one academic, “performance appraisal is not fair and emotional”. In a similar vein, another commented “academics who have good relationships can have good appraisal results, while others who work well but do not have relationships are at disadvantage”. Commenting on unfairness of the process, some academics were critical of the convention of appraising academics based on seniority. One academic commented “performance appraisal is based on seniority principle. Senior academics usually are favoured and gain better performance appraisal outcomes whereas junior academics hardly get a chance”. In a similar vein, another commented “annual performance appraisal is not fair: senior academics in high

positions usually receive high ratings”. These critical views may reflect a situation that performance appraisals tend to be based not only on performance achievements but also on non-performance indicators such as seniority.

Lack of accuracy (CAT 9) and *limited purposes* (CAT 10) are also concerns related to the quality of performance appraisal. Some academics were concerned about potential discrepancies of appraisal results between departments or schools. Addressing the problem, one noted “performance appraisal is not very accurate. For example, lecturer A in department A is a poor performer but is graded satisfactory, while lecture B in department B who works well but is graded unsatisfactory”. Explaining the problem, one academic wrote “academics’ appraisal results are based on a number of rewards or promotion, generally assigned on the condition of department size, but not on academics’ actual performance”. There were some academics who suggested a problem of lack of accuracy. One academic wrote “I find it hard for every academic to be appraised accurately, and not everyone can be pleased with appraisal results”. These views may reflect values of maintaining harmony and face-saving in relationships in collectivist-oriented cultures reported in some studies on performance appraisal (Chiang & Birtch, 2010; Walker & Dimmock, 2000), and may support the results of factor analysis in this study, which produced a factor group harmony in addition to independence and interdependence (see Section 4.3.3.4.2).

Some academics acknowledged the necessity of performance appraisal but questioned its effectiveness due to its *limited purposes* (CAT 11). In general, they expressed concern about the limited opportunity for professional development. One commented “appraisal results are for administrative decisions, but not for developmental purposes”. Another wrote “the results are mainly used for promotion”.

Lack of feedback communication (CAT 12) and *lack of follow-up activities* (CAT 13) were expressed by some academics as reasons for their dissatisfaction with appraisals. The need for feedback communication in performance appraisal has been emphasised in some studies (Jawahar, 2006; Roberts & Reed, 1996). However, the small number of responses mean one should not make too much of this result. Lack of follow-up activities, as expressed by some academics, generally refers to the ineffective use of appraisal results, for example, there were no sanctions against poor performers or merit pay awards for satisfactory performers. One academic questioned “there are appraisal results, but what are differences between poor and good academics?” Another raised similar concerns “What is the solution for unsatisfactory academics and what are benefits for satisfactory academics?” These questions may in part stem from the situation in many Vietnamese universities that academic tenure decisions are determined by the Ministry of Education and Training, and generally last during their profession (Bui, 2010). However, these concerns need to be studied in depth before making any firm assertions due to the limited number of respondents.

Appraisers’ lack of expertise (CAT 14) was also a concern. One academic wrote “appraisers do not understand appraisal criteria. They simply grade academics, but are not aware that the results should be for academics’ development”. In a similar vein, another commented “there are criteria, but people who appraise are limited in their capabilities to assist academics”. *Hierarchical decisions* (CAT 15) refer to top-down appraisals. Some academics were not in favour of their appraisals being personally decided by appraisers, generally heads of departments or schools. They believed that they were “outsiders of the game” when the appraisal committee, usually called “four-party members” had confidential meetings and could alter appraisal results in line with their favouritism. This concern may reflect the influence of high power distance on performance appraisal practice in collectivist societies (Chiang & Birtch, 2010), and supports the quantitative results of the factor

analyses, which generated the factor openness to performance appraisal (see Section 4.3.3.3). However, this speculation should be further investigated.

Some academics expressed concern about *time to conduct performance appraisal* (CAT 16) because the time to conduct performance appraisal was not appropriate. For example, student evaluations were administered during their examination schedules.

5.3.4. Performance appraisal improvements

A number of academics made suggestions related to potential performance appraisal improvements (CAT 17) (see Table 5.8).

Table 5.8

Performance Appraisal Improvements

Theme	Category	Frequency
Performance appraisal improvements	Suggestions for improvements (CAT 17)	14

Most suggestions focused on developing specific appraisal criteria, using multiple sources of evidence, creating procedural justice, and following up appraisal results.

One academic suggested:

The process must be carried out regularly and focus on professional development. Students' evaluations are important, but the results must be confidential for the staff's respect; the results must be objective.

Another suggested "the procedures should be clear and organised", and expected that "staff appraisals should be handled sensitively to avoid any sudden change and shock".

5.4. Comparison of results of the Australian and Vietnamese samples

Academics' comments from both Australian and Vietnamese participants revealed similar themes covering major aspects of performance appraisal including purposes of performance appraisal, appraisal criteria, fairness of the process, sources of evidence for rating, feedback communication, and role of appraisers. The most concern expressed was related to perceived fairness of performance appraisal. While many Australian academics perceived favouritism to be a reason for unfairness, a number of Vietnamese academics were critical of seniority-based practices that affected appraisal procedures. These views of Vietnamese academics may be attributed to the Confucian cultural influence which emphasises power differences and hierarchy. Power distance may also explain why many Vietnamese academics were critical of students' appraisals of teaching, whereas in the Australian sample, this appeared less pronounced.

A number of academics from both samples stressed the importance of developing specific appraisal criteria. Many Australian academics tended to criticise roles of appraisers, indicating their favouritism, lack of expertise or lack of commitment as reasons for their dissatisfaction with performance appraisal. On the other hand, a number of Vietnamese academics mentioned disadvantages of the process such as lack of accuracy or lack of transparency. The difference in these views may be explained by cultural influences on two groups of participants. In a collectivist-oriented society (Hoang, 2008; Hsu, Tran, & Hsu, 2012), Vietnamese appraisees tended to be indirect, avoid confrontation in relationships, and generally were expected to accept appraisals being carried out by heads of departments or schools. On the other hand, Australian academics, generally known to be more individualistic (Hofstede, 2001), appeared to be direct and emphasised communication in performance appraisal.

5.5. Chapter summary

This chapter provided results of free responses of the Australian and Vietnamese participants. Although the qualitative data are not the focus in this study, the results support the statistical analyses to some extent, and provide additional insights. The final chapter provides a summary of the results, limitations, implications, and suggestions for future research.

CHAPTER SIX – CONCLUSIONS

6.1. Overview of the study

For the past few decades, universities in many countries have experienced significant changes in their working environment and practices (Denman, 2009; T. K. Q. Nguyen, 2011; Pham, 2011). Like other public sector organisations, universities have become an education market with growing concern about their efficiency and accountability (Barry, Chandler, & Clark, 2001; Lafferty & Fleming, 2000; London, 2010). New challenges of changing economic conditions have required universities to adopt a more corporate style of management to increase quality and effectiveness of their performances (Haslam, et al., 1992; Lonsdale, 1998). Systematic staff performance appraisal has been a key tool, serving dual purposes, “to enhance faculty development efforts by assessing the strengths and weaknesses of individual instructors and to determine whether the employment of a faculty member should be continued or terminated” (Palmer, 1983, p. 110).

With the aim to develop knowledge of self-efficacy in relation to academic performance appraisal from a cross-cultural perspective, this exploratory study empirically investigated relationships between academics’ self-efficacy for research, self-efficacy for teaching, self-efficacy for performance appraisal, trust in performance appraisal, and cultural orientations at the individual level in Australia and Vietnam.

This research primarily employed quantitative methodologies to test priori hypotheses and answer research questions. In the following section, limitations of the study are discussed, the main findings are summarised, implications for theory and practice are presented, and finally, directions for future research are proposed.

6.2. Limitations of the study

It is acknowledged that this exploratory study has some limitations, particularly related to the sample, method of data collection, and the instruments. First, the number of participants is relatively small, representing approximately one percent of the academic staff working in Australian and Vietnamese public universities. However, as the stratified random sampling was used to obtain proportionally representative groups of academics from Australian and Vietnamese universities, it is acceptable to generalise the results to some extent.

Second, due to the time constraints and the limited scope of doctoral thesis research, the data were collected only at one point in time. As individuals' self-efficacy has been found to be malleable, that is, it may change over time and vary in different contexts (Bandura, 1997; Gist & Mitchell, 1992; Mitchell, et al., 1994), a longitudinal survey studying academic participants' self-efficacy would have been superior. This is recommended for future investigation. In addition, in view of the self-report nature of the measures used, future studies could also employ qualitative methods such as interviews to supplement quantitative data.

Third, a self-administered questionnaire distributed on SurveyMonkey was employed to collect data. The use of web-based surveys is common in various activities in Australian university contexts, whereas it is a relatively new survey tool in Vietnam, particularly in educational research (Vu & Hoffmann, 2011). Poor facility support such as lack of personal computers and academics' unfamiliarity with online surveys are possible disadvantages which may account for the relatively low response rate of the Vietnamese sample.

Fourth, the study focused on the relationships of idiocentrism and allocentrism as cultural factors at the individual level with other relevant variables. However, other

cultural constructs such as power distance may also influence self-efficacy, and may be worthy of future investigation.

6.3. Summary of the findings

The results of the study are presented with regard to hypotheses, research questions and survey free responses.

6.3.1 Hypotheses

6.3.1.1 Self-efficacy for research, self-efficacy for teaching, and idiocentrism and allocentrism factors

The relationships between self-efficacy for research, self-efficacy for teaching, and idiocentrism and allocentrism factors were addressed in hypotheses 1 and 2.

Hypothesis 1: Idiocentrism will be related positively to research self-efficacy.

Hypothesis 2: Allocentrism will be related positively to teaching self-efficacy.

Idiocentrism and allocentrism factors were found not to predict either self-efficacy for research or self-efficacy for teaching (see Sections 4.2.4.9.1 and 4.2.4.9.2) from the Australian sample, so hypotheses 1 and 2 were not supported. Analysis of the Vietnamese sample did not support hypothesis 1 (see Sections 4.3.3.8.1 and 4.3.3.8.2) but provided evidence supporting hypothesis 2 (see Section 4.3.3.8.3) in that interdependence was positively associated with self-efficacy for teaching. The positive association between interdependence and self-efficacy for lower order research activities (see Section 4.3.3.8.2) was unexpected, suggesting that Vietnamese participants were likely to develop beliefs in their capabilities for lower order research activities when engaging in participative research. The result has several implications for practice, which are discussed in the next section.

6.3.1.2 Idiocentrism and allocentrism, trust in performance appraisal, and self-efficacy for performance appraisal factors

Hypotheses 3, 4 and 5 addressed the relationships between idiocentrism and allocentrism, trust in performance appraisal, and self-efficacy for performance appraisal factors.

Hypothesis 3: Idiocentrism will be related negatively to trust in performance appraisal.

Hypothesis 4: Allocentrism will be related positively to trust in performance appraisal.

Hypothesis 5: Trust in performance appraisal will be related positively to performance appraisal self-efficacy.

There was no evidence from either the Australian or Vietnamese sample that supported hypothesis 3 (see Sections 4.2.4.9.3, and 4.3.3.8.4 and 4.3.3.8.5). The analyses of the Australian sample fully supported hypotheses 4 and 5 (see Sections 4.2.4.9.3 and 4.2.4.9.4). Regarding the Vietnamese sample, the findings fully supported hypothesis 4, and partly supported hypothesis 5 because openness to appraisal was related to self-efficacy for appraisal communication, and fairness of appraisal was related to self-efficacy for appraisal tasks, separately (see Sections 4.3.3.8.4 and 4.3.3.8.5).

6.3.1.3 Self-efficacy for research, self-efficacy for teaching, and self-efficacy for performance appraisal factors

Hypotheses 6 and 7 addressed the relationships between self-efficacy for research and self-efficacy for teaching and self-efficacy for performance appraisal.

Hypothesis 6: Research self-efficacy will be related positively to performance appraisal self-efficacy.

Hypothesis 7: Teaching self-efficacy will be related positively to performance appraisal self-efficacy.

The results from the Australian sample fully supported hypotheses 6 and 7 (see Section 4.2.4.9.4). The analyses of the Vietnamese sample provided evidence fully supporting hypothesis 7, and partly supported hypothesis 6, because self-efficacy for higher order research activities was negatively related to self-efficacy for appraisal tasks (see Section 4.3.3.8.7).

Arguably, the most significant contribution of this study is to propose and examine a newly conceptualised construct, “self-efficacy for appraisal”, in the two distinct cultural settings. The main results revealed that self-efficacy for research, self-efficacy for teaching, and trust in appraisal were statistically significant predictors of self-efficacy for appraisal. The relationships between self-efficacy for research, self-efficacy for teaching, trust in appraisal and self-efficacy for appraisal together appear never to have been proposed previously in the literature. Understanding how academics’ self-efficacy for appraisal is related to their self-efficacy for research and teaching is an important attempt to add to our knowledge of performance appraisal in universities, which may contribute to improving quality of academics’ performance appraisal, and accordingly benefit academics and organisations within which they work. In addition, the knowledge of this new construct together with understandings of rater self-efficacy (Bernardin & Villanova, 2005) can provide comprehensive knowledge of self-efficacy for appraisal from appraisees’ perspectives. A number of practical implications from the findings will be presented, after discussion of answers to the research questions.

6.3.2. Research questions

The two research questions were answered at least to some extent.

Research question 1: How are academics’ demographic characteristics: gender, age, academic qualification and academic rank, associated with their self-efficacy for research, self-efficacy for teaching, and self-efficacy for performance appraisal?

Research question 2: Are there statistically significant interactions between the variables in the conceptual framework?

Regarding research question 1, for the Australian sample, academic qualification and academic rank were statistically significant predictors of academics' self-efficacy for research (see Section 4.2.4.9.1). Not surprisingly, academics holding doctoral degrees generally had higher levels of self-efficacy for research than those with master qualifications. This result is in accord with some Australian studies (Bailey, 1999; Hemmings & Kay, 2009). In terms of academic rank, there were predictable differences in self-efficacy for research: professors, associate professors, and senior lecturers generally were more self-efficacious for research than lecturers. In general, researchers (Bailey, 1999; Schoen & Winocur, 1988) have consistently provided evidence of positive relationships between academic level and research self-efficacy, and accordingly research productivity.

For the Vietnamese sample, gender, age, and academic qualification were associated with self-efficacy for research, and age was related to self-efficacy for teaching (see Sections 4.3.3.8.1 and 4.3.3.8.2). In general, holding a doctoral degree and being a senior academic was positively related to higher levels of research self-efficacy. The findings revealed the positive association between age and self-efficacy for higher order research activities, and self-efficacy for teaching. In general, being older, academics generally were more likely to engage in complex research activities and teaching than younger colleagues. These mastery experiences may have led to enhanced self-efficacy for higher order research and for teaching. Nevertheless, the result is somewhat at odds with a study carried out with academics in a western university (Landino & Owen, 1988), suggesting that junior academics generally were more self-efficacious for research productivity.

Gender was related to levels of self-efficacy for lower order research activities in the Vietnamese sample. In general, male academics were more likely to be self-efficacious for lower order research than their female colleagues. The result is consistent with findings in some studies conducted in western university settings (Hemmings & Kay, 2009; Vasil, 1992) and in Chinese universities (Zhao, et al., 2008). The aforementioned results have some implications for practice, which are discussed in a later section.

Regarding research question 2, the results of this study suggested idiocentric and allocentric orientations generally moderated academics' self-efficacy beliefs. For the Australian sample, the relationship between trust in appraisal and self-efficacy for teaching was moderated by independence (see Section 4.2.4.9.3). The interaction indicates that for low independence academics there was a negative association between self-efficacy for teaching and trust in appraisal, whereas for high independence academics there was a positive association between self-efficacy for teaching and trust in appraisal. The high independence group generally reported little variation of their perceived trust in appraisal, while the low independence group generally reported relatively high trust when self-efficacy for teaching was low and relatively low trust when self-efficacy for teaching was high. One explanation may be that low independence academics were more likely to rely on relationships for their performance appraisal outcomes when their self-efficacy for teaching was low. The results may suggest the importance of enhancing low independence academics' self-efficacy for teaching as a possible way to increase their trust in performance appraisal. Teaching demonstrations, peer-observations, and group teaching discussions may be appropriate professional development activities, whereby academics may receive vicarious experiences and social persuasion, which arguably are important sources for teaching self-efficacy (Morris & Usher, 2010).

Independence also moderated the relationships between self-efficacy for appraisal and self-efficacy for research (see Section 4.2.4.9.4). Both low and high independence groups generally reported relatively high self-efficacy for appraisal when self-efficacy for research was high. However, the low independence group tended to have lower self-efficacy for appraisal than the high independence group when self-efficacy for research was low. It is speculated that high independence academics were likely to emphasise research activities. A suggestion is to employ some strategies to enhance low independence academics' self-efficacy for appraisal, and consequently, can improve quality of performance appraisal. It seems appropriate to encourage academics to participate in appraisal training sessions, discussions of performance goals, and feedback communications. These activities would offer academics more opportunities to engage in performance appraisal, which subsequently enhance their research self-efficacy.

Interdependence moderated the relationship between self-efficacy for appraisal and self-efficacy for teaching (see Section 4.2.4.9.4). The high interdependence academics generally reported higher self-efficacy for appraisal than the low interdependence group when self-efficacy for teaching was low, and both groups had much the same relatively high self-efficacy for appraisal when self-efficacy for teaching was high. It is likely that high interdependence academics who may have emphasised cooperation and relationships were more likely to develop beliefs in their capabilities to complete teaching tasks, and accordingly enhance their self-efficacy for appraisal.

For the Vietnamese sample, group harmony moderated the relationships between self-efficacy for appraisal tasks and fairness of appraisal and between self-efficacy for appraisal tasks and openness to appraisal (see Section 4.3.3.8.7). The moderating effect of group harmony suggests that academics who were more likely to emphasise harmonious relationships tended to perceive greater fairness of and openness to

appraisal than low group harmony people. Therefore, promoting cooperation and maintaining harmonious relationships in performance appraisal may be important for Vietnamese academics to engage effectively in performance appraisal and consequently, have mastery experiences, which arguably is the most important source of self-efficacy for performance appraisal (Bandura, 1997).

Fairness of appraisal moderated the relationship between self-efficacy for appraisal communication and self-efficacy for teaching (see Section 4.3.3.8.6). The surprising finding is that the low fairness of appraisal group generally reported to have relatively high self-efficacy for appraisal communication, irrespective of self-efficacy for teaching. Possibly, these academics may have tended to rely on relationships with appraisers for their performance appraisal outcomes. On the other hand, the high fairness of appraisal group generally tended to have relatively low self-efficacy for appraisal communication when self-efficacy for teaching was low and relatively high self-efficacy for appraisal communication when self-efficacy for teaching was high. One explanation is that academics who perceived themselves to have low self-efficacy for teaching but high fairness of appraisal may have been less likely to rely on relationships with appraisers for their performance appraisal outcomes, while those who perceived themselves to have high fairness of appraisal and high self-efficacy for teaching may have perceived that their teaching performance could account for performance appraisal outcomes.

Openness to appraisal moderated the relationship between self-efficacy for appraisal tasks and self-efficacy for lower order research activities (see Section 4.3.3.8.6). The point of interest is that the low openness to appraisal group generally tended to have higher self-efficacy for appraisal tasks than the high openness to appraisal group when self-efficacy for lower order research activities was low. One explanation is that academics who perceived themselves to have low openness to appraisal and low self-efficacy for lower order research activities may have emphasised completing

appraisal tasks as part of their performance. These explanations of interaction effects are speculative to some extent, but may point to mediating influence of trust factors on Vietnamese academics' self-efficacy beliefs in relation to performance appraisal. This is relatively in support of several studies (Byard, 2011; Ruder, 2003), indicating the linkage of trust and self-efficacy.

6.3.3. Free responses

The same four themes were identified in responses of the Australian and Vietnamese participants: descriptions of performance appraisal, satisfaction with performance appraisal, dissatisfaction with performance appraisal, and suggestions for improvements (see Sections 5.2 and 5.3). Some academics described performance appraisal practice indicating frequency of participation, responsibility for appraisal, and purposes of the process. A number of respondents expressed their satisfaction with performance appraisal because they perceived the necessity of the scheme. Some were in favour of performance appraisal when they perceived the process to be fair. However, the majority of respondents from both Australian and Vietnamese sample expressed dissatisfaction with performance appraisal. Their critical views were concerned with key aspects of the process including appraisal criteria, limited purposes, sources of information for appraisal, appraiser's favouritism, feedback communication, and follow-up activities. Many Australian and Vietnamese participants expressed similar concerns about the process due to perceived lack of fairness. These critical views have some implications for university administrators, which are discussed in the next section.

The most significant difference between the two samples was that many Vietnamese academics opposed the idea of students' appraisal of teaching, but Australian academics did not express much criticism to this practice. The explanation may be attributed to social and cultural influences on academics. In a high power distance culture (Hsu, et al., 2012; Nguyen, et al., 2005), Vietnamese academics were more

likely to emphasise hierarchy and preferred teacher-centred role in classroom practices than their Australian colleagues in a low power distance culture (Hofstede, 1980; Hofstede & Hofstede, 2005). In addition, students' appraisal of teaching appeared to be a new practice in many Vietnamese universities, which arguably required considerable effort and time on the part of students, academics, and administrators to be acceptable (Nguyen & McInnis, 2002; TTO, 2009).

Many respondents provided suggestions in addition to their critical comments on performance appraisal. These suggestions focused on enhancing perceptions of fairness of performance appraisal procedures, clarifying purposes of the process, developing specific appraisal criteria, using multiple sources of information for appraisal, providing adequate training to both appraisers and appraisees, and communicating feedback.

6.4. Implications

A number of implications for practice, policy, and research arise from the results of the study.

6.4.1 Implications for practice

This research provides a number of implications for practice. First, identifying the new construct, self-efficacy for appraisal, has the potential to benefit both academics and university managers by improving the quality of performance appraisal in particular and performance management in general. When academics are self-efficacious for appraisal, they are expected to engage actively in the process, properly complete appraisal tasks, and openly discuss appraisal feedback. Some practical ways to enhance academics' self-efficacy for appraisal include providing appraisal information sessions, developing well-defined performance indicators and transparent appraisal procedures, and providing timely and constructive appraisal

feedback. In addition, enhancing academics' self-efficacy for research and self-efficacy for teaching is also important for strengthening their self-efficacy for performance appraisal, and potentially, improving the overall quality of performance appraisal. Specifically, encouraging academics to actively engage in research and teaching activities, particularly in a cooperative manner, and providing appropriate modelling through mentoring programs, tailored workshops, and research-oriented conferences are possible strategies to enhance academics' self-efficacy beliefs (Hemmings & Kay, 2010b).

Second, improving academics' qualifications generally is important for enhancing their self-efficacy for research activities (Bailey, 1999; Hemmings & Kay, 2009). However, in many Vietnamese universities, as shortage of qualified academics has been a concern and is likely to continue to be a problem in years to come (Hayden & Lam, 2010; Pham, 2010), university managers should encourage participative research activities whereby less qualified academics may have opportunities to observe and learn from more experienced, senior academics. These vicarious experiences arguably are important for increasing academics' self-efficacy for research, and actual research performance (Hemmings & Kay, 2009; Zhao, et al., 2008).

Third, for the Vietnamese sample as a whole, the positive association between age and self-efficacy for research and self-efficacy for teaching should draw university managers' attention. On the one hand, university managers should provide junior staff with more support and opportunities in research and teaching. Early career academics or less experienced academics should be encouraged to carry out elementary tasks (Hemmings & Kay, 2010b). These may include attending conferences, presenting teaching ideas, and collaborating with colleagues in research or teaching projects. Academics' self-efficacy beliefs may be enhanced by encouraging them to participate in more research and teaching activities, and

consequently, have mastery experiences, which are the most important source of self-efficacy (Bandura, 1997). Moreover, the practice, in many Vietnamese universities, of rewarding length of service rather than academic performance should be discouraged (Pham, 2010). Because seniority generally is related to privileges which may cause inequality in the workplace (Gosseries, 2004), it can be worthwhile for Vietnamese university management to take this into consideration when carrying out performance appraisals.

Fourth, enhancing female academics' self-efficacy for lower order research activities is likely to be important for improving the quality of performance. A suggestion for university management is that female academics who are not self-efficacious for research should be encouraged to cooperate with experienced colleagues in research activities because observing models and learning from experienced researchers arguably may enhance females' beliefs in their capabilities to carry out research activities (Hemmings & Kay, 2009; Zhao, et al., 2008).

Fifth, the relationships of independence and interdependence with self-efficacy beliefs suggest that both idiocentrics and allocentrics may exist in a university environment. Independent and interdependent self-construals may be related to different dimensions of appraisal self-efficacy. For example, in the Vietnamese sample, interdependent self-construal was related positively to two facets of self-efficacy for appraisal: self-efficacy for appraisal tasks and self-efficacy for appraisal communication. University managers should take cultural orientations at the individual level into consideration to understand different academics' reactions to the same performance appraisal practices and policies.

Finally, the free responses from the two samples show that the majority of participants were concerned about fairness of performance appraisal. Therefore, university managers should ensure fairness of performance appraisal, that is, the

process should be conducted in a fair, bias-free and consistent manner (Thurston & McNall, 2010). Some practical methods include developing well-defined performance indicators and specific appraisal criteria, clarifying appraisal purposes and being informative, employing external appraisers and using multiple sources of appraisal information, encouraging open appraisal feedback communication, and providing appropriate follow-up activities.

6.4.2 Implications for policy

Some suggestions for policy-making follow from this study, particularly in the Vietnamese context as performance appraisal practices in Vietnamese universities are relatively new (Tran, 2006). The Vietnamese government and the Ministry of Education and Training (MOET) should increase institutional autonomy, permitting universities to be more responsible for institutional decisions, including human resource management. Universities can formulate policies for recruitment, staff appraisal and promotion, and development to respond to their own situations, provided that quality standards are met, to make universities competitive locally and globally.

Universities should introduce systematic appraisal systems, utilising well-defined appraisal criteria and transparent procedures. Universities can create a division such as quality assurance department which is responsible for collecting and analysing information for academics' appraisal, including self-appraisal reports, results of students' evaluation, class observation, and peer reviews. Appraisal joint-committees with external qualified appraisers can be established at school or faculty levels to increase the likelihood that appraisals are fair, and avoid possible conflicts of interests.

Universities should develop budget plans to support professional development needs, identified by appraisal results. In general, academics are likely to recognise the necessity of performance appraisal and accept the process when there are positive incentives such as increased salaries, promotion prospects, and resources for professional development based on good or excellent performance (Rutherford, 1988).

6.4.3 Implications for research

This study represents the first reported attempt to conceptualise a new construct, self-efficacy for appraisal, examined in university settings. A set of eight items was developed to measure the construct directly. The scale should be used to replicate and extend the findings in future studies.

In the current study, self-efficacy theory, originally developed in western contexts, was applicable in the Vietnamese cultural context. Although Australian and Vietnamese academics interpreted self-efficacy scales differently, as the factor analyses generated different factors for the Australian and Vietnamese samples, these differences are not problematic, but indicate relationships between self-efficacy beliefs and cultural influence (Bandura, 1999; Earley, 1994).

The present investigation focused on academics' self-efficacy beliefs in relation to performance appraisal in the two distinct cultures. A replication study in other countries which represent individualist and collectivist cultures is recommended to validate the self-efficacy scales. In addition, as noted earlier about limitations of a cross-sectional survey design, future research of a longitudinal or experimental nature is suggested to assist in developing causal inferences.

6.5. Suggestions for future research

There are several ways future research may extend the line of inquiry. As noted earlier, this study was exploratory, with attempts to lay foundations for future studies on academics' self-efficacy for performance appraisal. It may be valuable to replicate this study with a larger sample of university academics, particularly to validate the self-efficacy for appraisal scale. In addition, the samples in this study were drawn from public universities and following some researchers (Bordia & Blau, 1998), who found differences between public and private sector organisations, the findings need replication with samples from private universities.

This study employed a cross-sectional research design which may limit the ability to draw conclusions regarding causal relationships. Future longitudinal studies with interviews, case studies or other qualitative approaches are needed to gain richer information and establish the causal nature of the relationship between variables.

As the current study focused on idiocentrism and allocentrism without considering other cultural values due to the limited scope of doctoral research, it may be of value for further research to incorporate other cultural constructs such as power distance, assertiveness, and uncertainty avoidance (Chiang & Birtch, 2010). It would be worthwhile to examine how power distance, together with idiocentrism and allocentrism, may be related to academics' self-efficacy for performance appraisal as there appears to be scant research studying power distance at the individual level (Wang & Yi, 2012).

In the present study, the relationships between academics' self-efficacy for research and for teaching and their self-efficacy for performance appraisal were investigated. Further research is needed to investigate sources of information that contribute to academics' self-efficacy for performance appraisal. Assessing the sources that create and nourish self-efficacy can not only help researchers understanding self-efficacy's

developmental process but also provide academics and university administrators with guidelines on how to enhance their self-efficacy beliefs. Given the linkages of academics' self-efficacy for research and self-efficacy for teaching with self-efficacy for performance appraisal, this exploratory study pointed to the importance of any research which aims at understanding academics' self-efficacy beliefs in relation to academic performance appraisal.

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[startPage=32=suffix==npages=5.pdf](http://callisto10.ggimg.com.ezproxy.uow.edu.au/imgsrv/FastPDF/UBER1/RangeFetch=contentSet=UBER1=prefix=PI-0NWE-2006-JUL12-IDSI=startPage=32=suffix==npages=5.pdf)
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APPENDIX A

Survey Questionnaire for the Australian Sample

ACADEMIC STAFF PERFORMANCE APPRAISAL SURVEY

INTRODUCTION:

Thank you for taking the time to complete our survey. This survey should only take approximately 10 minutes of your time. Your answers will be completely anonymous. No university or individual will ever be identified. The data collected will only be used for research purposes.

In order to navigate through this survey, please use the following navigation links:

- Click the "Next" button to continue the next page.
- Click the "Prev" button to return to the previous page.
- Click the "Exit" button if you need to exit the survey.
- Click the "Done" button to complete and submit the survey.

If you have any questions, please contact the research team: Hung Luu (nghl945@uowmail.edu.au), John McCormick (johnmcc@uow.edu.au), or Stuart Woodcock (stuartw@uow.edu.au).

* **Note:** The term “performance appraisal” refers to performance review


SECTION A:

Instruction: Please place a tick ☒ or write the answers in the appropriate boxes.

- Gender: ☐ Male ☐ Female
- Your highest academic qualification:
☐ Bachelor ☐ Master ☐ PhD
☐ Other, please specify: _____
- Your academic responsibilities (more than one answer is possible):
☐ Teaching
☐ Research
☐ Administration
- Age (number of years): _____
- Your academic rank:
☐ Lecturer
☐ Senior lecturer
☐ Associate professor
☐ Professor
☐ Other, please specify: _____
- Number of years working as a university academic (include this year as a full year): _____
- How often do you complete performance appraisal review in your current faculty (school)?
☐ Half-yearly ☐ Yearly ☐ Other, please specify: _____

SECTION B:

*Instruction: The following statements are about **PERFORMANCE APPRAISAL AT YOUR UNIVERSITY**. Please indicate your level of agreement with each statement. For example, if you do not agree at all, tick 0. If you completely agree, tick 4. If your agreement lies somewhere between, please choose the number that most closely matches your agreement.*

	not agree at all					completely agree
	0	1	2	3	4	
1. Performance appraisal is conducted in a climate of cooperation.	0	1	2	3	4	
2. Appraiser(s)' expectations for my work performance are clear during the performance appraisal.	0	1	2	3	4	
3. I trust the performance appraisal process.	0	1	2	3	4	
4. I rely on the appraiser's performance appraisal ratings.	0	1	2	3	4	
5. The performance appraisal process in my university is fair.	0	1	2	3	4	
6. Appraiser(s) evaluates my performance fairly in relation to other staff.	0	1	2	3	4	
7. How much effort I put into my job is important for my performance appraisal.	0	1	2	3	4	
8. I am open to performance appraisal feedback from the appraiser(s).	0	1	2	3	4	
9. I can discuss work-related problems, which might negatively affect my performance appraisal ratings, with the appraiser(s).	0	1	2	3	4	

SECTION C:

Instruction: For the following statements, please indicate your level of agreement with each statement. For example, if you do not agree at all, tick 0. If you completely agree, tick 4. If your agreement lies somewhere between, please choose the number that most closely matches your agreement.

	not agree at all					completely agree
	0	1	2	3	4	
1. I enjoy being unique and different from my colleagues in many aspects.	0	1	2	3	4	
2. Even when I strongly disagree with people, I avoid an argument.	0	1	2	3	4	
3. I respect people who are modest about themselves.	0	1	2	3	4	
4. I feel it is important for me to act as an independent person.	0	1	2	3	4	
5. I prefer to be direct and forthright when dealing with people.	0	1	2	3	4	
6. I feel good when I cooperate with others.	0	1	2	3	4	
7. If a colleague lends me a helping hand, I need to return the favour.	0	1	2	3	4	
8. I am comfortable with being singled out for praise or rewards.	0	1	2	3	4	
9. I often have the feeling that my relationships with others are more important than my own accomplishments.	0	1	2	3	4	
10. My personal identity, independent of others, is very important to me.	0	1	2	3	4	
11. It is important for me to maintain harmony within my faculty/school.	0	1	2	3	4	
12. Colleagues' assistance is indispensable to good performance at work.	0	1	2	3	4	

SECTION D:

*Instruction: For the following statements, please tick the percentage that best represents **HOW CONFIDENT YOU ARE THAT YOU CAN SUCCESSFULLY CARRY OUT THE STATED ACTIVITY**. For example, if you are completely confident that you can carry out the activity successfully, tick 100%. If you have no confidence that you can carry out the activity successfully, tick 0%. If your confidence lies somewhere between, please choose the percentage that most closely matches your confidence.*

1. initiate research ideas.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
2. plan lecture content.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
3. publish academic books.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
4. analyse research data.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
5. deliver lectures.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
6. design appropriate assessment tasks.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
7. supervise undergraduate degree students.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
8. participate in research projects.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
9. supervise master's degree candidates.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
10. take charge of research projects.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
11. assign grades accurately.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
12. present papers at domestic conferences.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
13. cater for students' learning differences.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
14. revise teaching strategies.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
15. win research funds.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
16. publish articles in domestic journals.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
17. revise teaching material.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
18. mark assessment tasks.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
19. publish textbooks.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
20. assess students' performances.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>

21. identify intended learning outcomes.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
22. publish articles in international journals.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
23. consult with students.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
24. present papers in international conferences.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
25. supervise doctoral degree candidates.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>

SECTION E:

Instruction: The following statements are about activities related to PERFORMANCE APPRAISAL AT YOUR UNIVERSITY. Please tick the percentage that best represents HOW CONFIDENT YOU ARE THAT YOU CAN SUCCESSFULLY CARRY OUT THE STATED ACTIVITY. For example, if you are completely confident you can carry out the activity successfully, tick 100%. If you have no confidence that you can carry out the activity successfully, tick 0%. If your confidence lies somewhere between, please choose the percentage that most closely matches your confidence.

1. complete a self-appraisal report for your performance appraisal.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
2. provide evidence of your achievements at performance appraisal meetings.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
3. understand the criteria used in performance appraisal.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
4. challenge evidence presented during performance appraisal that you believe to be inaccurate.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
5. openly discuss performance appraisal feedback with an appraiser(s).	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
6. provide accurate ratings in self-appraisal.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
7. explain reasons for assigning specific ratings in your self-appraisal.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>
8. communicate your professional development needs during performance appraisal.	0% <input type="checkbox"/>	10% <input type="checkbox"/>	20% <input type="checkbox"/>	30% <input type="checkbox"/>	40% <input type="checkbox"/>	50% <input type="checkbox"/>	60% <input type="checkbox"/>	70% <input type="checkbox"/>	80% <input type="checkbox"/>	90% <input type="checkbox"/>	100% <input type="checkbox"/>

SECTION F:

Instruction: Please write any observations about your university's performance appraisal that you think are relevant.

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Thank you for completing the questionnaire.

APPENDIX B

UOW Ethics Approval for Pilot Study

University of Wollongong



INITIAL APPLICATION APPROVAL

In reply please quote: HE11/302
Further Enquiries Phone: 4221 3386
GH:LM

12 August 2011

A/Prof John McCormick
Faculty of Education
Building 67.331
University of Wollongong

COPY

Dear A/Prof McCormick

Thank you for your response dated 10 August 2011 to the HREC review of the application detailed below. I am pleased to advise that **stage 1) pilot study administered to the academic staff in the faculty, of the application has been approved.**

Ethics Number: HE11/302

Project Title: A Social-Cognitive and Cross-Cultural Investigation of Performance
Appraisal in Australian and Vietnamese Universities

Researchers: A/Prof John McCormick, Dr Stuart Woodcock, Mr Hung Luu

Approval Date for stage 1: 11 August 2011

Expiry Date: 10 August 2012

The University of Wollongong/Ilawarra Shoalhaven Local Health District Social Sciences HREC is constituted and functions in accordance with the NHMRC *National Statement on Ethical Conduct in Human Research*. The HREC has reviewed the research proposal for compliance with the *National Statement* and approval of this project is conditional upon your continuing compliance with this document.

A condition of approval by the HREC is the submission of a progress report annually and a final report on completion of your project. The progress report template is available at <http://www.uow.edu.au/research/rso/ethics/UOW009385.html>. This report must be completed, signed by the appropriate Head of School, and returned to the Research Services Office prior to the expiry date.

As evidence of continuing compliance, the Human Research Ethics Committee also requires that researchers immediately report:

- proposed changes to the protocol including changes to investigators involved
- serious or unexpected adverse effects on participants
- unforeseen events that might affect continued ethical acceptability of the project.

Please note that approvals are granted for a twelve month period. Further extension will be considered on receipt of a progress report prior to expiry date.

If you have any queries regarding the HREC review process, please contact the Ethics Unit on phone 4221 3386 or email rso-ethics@uow.edu.au.

Yours sincerely

A/Professor Garry Hoban
Chair, Social Sciences
Human Research Ethics Committee

Research Services Office University of Wollongong NSW 2522 Australia
Telephone: +61 2 4221 3386 Facsimile: +61 2 4221 4338
research_services@uow.edu.au www.uow.edu.au/research
CRICOS Provider No. 00102E

APPENDIX C

Invitation Letter to Participate in Pilot Study

Dear <Full name>

I am Hung Luu, a PhD candidate in the Faculty of Education, University of Wollongong. My thesis research is about performance appraisal of academic staff in universities. I am hoping that as a university academic you will agree to assist me by participating in the pilot stage of my PhD study. Participation involves completing a draft questionnaire about academics' beliefs related to performance appraisal practices, and if applicable providing brief feedback. The Participation Information Sheet is attached for your information.

Participation is voluntary, and your responses will be strictly confidential. The information supplied in the pilot study will only be used to improve the quality of the questionnaire, and not included in the research data set.

The questionnaire consists of six sections; the whole process should only take **approximately 15 minutes**. It would help immensely if you would consider the following:

- the length of time of completing the questionnaire;
- the clarity of statements; and,
- the layout of the questionnaire.

The questionnaire can be accessed online via the web link:

https://www.surveymonkey.com/s/Academic_Performance_Appraisal_EN. As you are sure to be very busy, it is probably a good idea to complete the survey ASAP, however, I would greatly appreciate you completing the questionnaire within **the next two weeks**.

If you have any enquiries, please do not hesitate to contact Hung Luu (nqhl945@uowmail.edu.au), John McCormick (johnmcc@uow.edu.au), or Stuart Woodcock (stuartw@uow.edu.au).

Your help with my research would be appreciated greatly.

Yours sincerely,
Hung Luu

APPENDIX D

Participation Information Sheet for Academics

TITLE: *A Social-Cognitive and Cross-Cultural Investigation of Performance Appraisal in Australian and Vietnamese Universities*

PURPOSE OF THE RESEARCH

This is an invitation to participate in a study conducted by researchers at the Faculty of Education, University of Wollongong. The purpose of the research is to investigate academics' beliefs related to performance appraisal in two distinct cultural settings (Australia and Vietnam). The empirical findings should generate new knowledge and assist Australian and Vietnamese universities in the area of academic performance appraisal.

RESEARCHERS

A/Prof. John McCormick
Faculty of Education
johnmcc@uow.edu.au

Dr. Stuart Woodcock
Faculty of Education
stuartw@uow.edu.au

Mr. Hung Luu
Faculty of Education
nqh1945@uowmail.edu.au

METHODS AND DEMANDS ON PARTICIPANTS

You are invited to participate in a research project by completing a questionnaire online via the web link: https://www.surveymonkey.com/s/Academic_Performance_Appraisal_EN. Most sections of the questionnaire consist of close-ended questions related to your performance appraisal practices. The typical types of questions include: Indicate your level of agreement with the statement such as "Performance appraisal is conducted in a climate of cooperation" by choosing the appropriate number from 0 to 4 (0 for not agree at all, and 4 for agree completely); choose the percentage (from 0% to 100%) that best represents how confident you are that you can successfully carry out the activities such as "You can complete a self-appraisal report for your performance appraisal". The purpose of the instruments is to understand the relationships of cultural and social-cognitive factors and academics' performance appraisal practices. The whole process may take you approximately 10 minutes.

CONFIDENTIALITY AND DISCLOSURE OF INFORMATION

Any information obtained in this study will remain confidential and anonymous. The data collected will be stored securely in a locked filing cabinet and will be used strictly for research purposes. In any publication, information will be provided in such a way that you and your university cannot be identified.

YOUR CONSENT

Your participation is entirely voluntary, and you are under no obligation to participate. Your decision whether or not to participate will not affect your relationships with the researchers, or the University of Wollongong. You are free to withdraw your consent and to discontinue participation at any time by advising the researchers.

ETHICS REVIEW AND COMPLAINTS

This study has been reviewed by the Human Research Ethics Committee (Social Science, Humanities and Behavioural Science) of the University of Wollongong. If you have any concerns or complaints regarding the way this research has been conducted, you can contact the Ethics Unit on (02) 4221 3386 or email: research_services@uow.edu.au.

Thank you for your interest and participation in this study. Should you require any further information, please do not hesitate to contact members of the research team.

APPENDIX E

UOW Ethics Approval for Main Study

University of Wollongong



INITIAL APPLICATION APPROVAL

In reply please quote: HE11/302
Further Enquiries Phone: 4221 3386
GH:LM

8 September 2011

A/Prof John McCormick
Faculty of Education
Building 67.331
University of Wollongong

COPY

Dear A/Prof McCormick

Thank you for your response dated 7 September 2011 to the HREC review of the application detailed below. I am pleased to advise that **stage 2) Main study; of the application has been approved.**

Ethics Number: HE11/302
Project Title: A Social-Cognitive and Cross-Cultural Investigation of Performance Appraisal in Australian and Vietnamese Universities
Researchers: A/Prof John McCormick, Dr Stuart Woodcock, Mr Hung Luu
Approval Date for stage 2: 8 September 2011
Expiry Date: 10 August 2012

The University of Wollongong/Illawarra Shoalhaven Local Health District Social Sciences HREC is constituted and functions in accordance with the NHMRC *National Statement on Ethical Conduct in Human Research*. The HREC has reviewed the research proposal for compliance with the *National Statement* and approval of this project is conditional upon your continuing compliance with this document.

A condition of approval by the HREC is the submission of a progress report annually and a final report on completion of your project. The progress report template is available at <http://www.uow.edu.au/research/rso/ethics/UOW009385.html>. This report must be completed, signed by the appropriate Head of School, and returned to the Research Services Office prior to the expiry date.

As evidence of continuing compliance, the Human Research Ethics Committee also requires that researchers immediately report:

- proposed changes to the protocol including changes to investigators involved
- serious or unexpected adverse effects on participants
- unforeseen events that might affect continued ethical acceptability of the project.

Please note that approvals are granted for a twelve month period. Further extension will be considered on receipt of a progress report prior to expiry date.

If you have any queries regarding the HREC review process, please contact the Ethics Unit on phone 4221 3386 or email rso-ethics@uow.edu.au.

Yours sincerely

A/Professor Garry Hoban
Chair, Social Sciences
Human Research Ethics Committee

Research Services Office University of Wollongong NSW 2522 Australia
Telephone: +61 2 4221 3386 Facsimile: +61 2 4221 4338
research_services@uow.edu.au www.uow.edu.au/research
CRICOS Provider No. 00102E

APPENDIX F

Invitation Letter to Participate in Main Study

Dear <insert title and name>

We are writing to ask for your participation in a survey that we are conducting at the Faculty of Education, University of Wollongong. The purpose of the study is to investigate academics' beliefs related to performance appraisal in universities.

You were selected as a possible participant in this study as your faculty was randomly selected. A criterion for participation is that you have completed at least one performance appraisal cycle in your university.

Your responses to this survey are very important and will help generate new knowledge and provide direction for future research of performance appraisal of academics. This is a short survey and should take you **approximately 10 minutes** to complete. Please click on the link below (or copy and paste the survey link into your Internet browser) to go to the survey website.

Survey link:

https://www.surveymonkey.com/s/Academic_Performance_Appraisal_EN

Your participation in this survey is entirely voluntary, anonymous, and all of your responses will be kept confidential. Should you have any further questions or comments, please feel free to contact: Hung Luu at nqh1945@uowmail.edu.au, John McCormick at johnmcc@uow.edu.au, or Stuart Woodcock at stuartw@uow.edu.au.

We appreciate your time and consideration in completing the survey. Thank you for participating in this study.

Yours sincerely,
Research Team

APPENDIX G

Reminder Letter

Dear <title and full name>

We recently sent you an email inviting you to respond to a brief survey about academics' beliefs related to performance appraisal in universities. Your responses to this survey are very important and will help generate new knowledge and provide direction for future research of performance appraisal of academics.

This survey questionnaire is short and should take you **approximately 10 minutes** to complete. If you have completed the survey, we appreciate your participation. If you have not yet responded to the survey, we encourage you to take a few minutes and complete the survey questionnaire. Your participation in this survey is entirely **voluntary and anonymous**. The data collected will only be used for research purposes.

Please click on the link below (or copy and paste the survey link into your Internet browser) to go to the survey website.

Survey link:

https://www.surveymonkey.com/s/Academic_Performance_Appraisal_EN

Thank you for your help by completing the survey. Should you have any further questions or comments, please feel free to contact: Hung Luu at nqhl945@uowmail.edu.au, John McCormick at johnmcc@uow.edu.au, or Stuart Woodcock at stuartw@uow.edu.au.

Yours sincerely,
Research Team

APPENDIX H.1

Descriptive Analysis of Australian Trust in Performance Appraisal Items

Items	<i>M</i>	<i>SD</i>	Scale (%)					Total
			0	1	2	3	4	
1. Performance appraisal is conducted in a climate of cooperation.	2.82	1.08	4.0	8.0	20.9	35.7	30.9	99.6
2. Appraiser(s)' expectations for my work performance are clear during the performance appraisal.	2.43	1.17	8.0	12.4	28.1	30.9	20.5	100
3. I trust the performance appraisal process.	1.98	1.19	12.9	22.9	27.7	26.1	10.4	100
4. I rely on the appraiser's performance appraisal ratings.	2.04	1.26	14.5	20.5	24.1	27.3	12.9	99.2
5. The performance appraisal process in my university is fair.	2.21	1.14	9.6	14.9	30.9	32.1	11.6	99.2
6. Appraiser(s) evaluates my performance fairly in relation to other staff.	2.32	1.16	10.4	9.6	30.9	33.3	14.5	98.8
7. How much effort I put into my job is important for my performance appraisal.	2.31	1.41	14.5	18.1	14.9	24.9	26.1	98.4
8. I am open to performance appraisal feedback from the appraiser(s).	3.22	.88	1.2	4.8	8.0	42.2	43.4	99.6
9. I can discuss work-related problems, which might negatively affect my performance appraisal ratings, with the appraiser(s).	2.62	1.21	7.2	12.4	18.5	34.5	27.3	100

Note. *N* = 249.

APPENDIX H.2

Descriptive Analysis of Australian Idiocentrism and Allocentrism Items

Items	<i>M</i>	<i>SD</i>	Scale (%)					Total
			0	1	2	3	4	
1. I enjoy being unique and different from my colleagues in many aspects.	2.92	.95	1.2	4.8	28.1	32.5	32.9	99.6
2. Even when I strongly disagree with people, I avoid an argument.	2.06	1.12	9.6	22.9	28.1	30.9	8.4	100
3. I respect people who are modest about themselves.	3.33	.73	0.0	1.2	11.6	39.4	47.4	99.6
4. I feel it is important for me to act as an independent person.	3.23	.76	0.0	2.0	13.3	43.4	40.6	99.2
5. I prefer to be direct and forthright when dealing with people.	2.99	.85	0.0	4.4	22.9	41.4	30.9	99.6
6. I feel good when I cooperate with others.	3.38	.65	0.0	0.8	6.8	45.0	46.6	99.2
7. If a colleague lends me a helping hand, I need to return the favour.	3.09	.88	0.8	4.0	16.9	41.0	35.7	98.4
8. I am comfortable with being singled out for praise or rewards.	2.46	1.05	2.8	17.3	27.3	34.9	16.9	99.2
9. I often have the feeling that my relationships with others are more important than my own accomplishments.	2.22	.95	4.0	16.5	39.8	30.9	7.6	98.8
10. My personal identity, independent of others, is very important to me.	3.18	.77	0.4	1.6	14.5	45.4	36.9	98.8
11. It is important for me to maintain harmony within my faculty/school.	2.95	.82	0.8	4.0	19.7	50.6	24.9	100
12. Colleagues' assistance is indispensable to good performance at work.	2.94	.94	1.2	5.6	22.9	37.3	32.1	99.2

Note. *N* = 249.

APPENDIX H.3

Descriptive Analysis of Research Self-Efficacy and Teaching Self-Efficacy Items

Items			Scale (%)												Total
<i>M</i>	<i>SD</i>	0	10	20	30	40	50	60	70	80	90	100			
1. Initiate research ideas.	8.59	1.86	0.8	0.4	0.8	0.8	0.8	2.8	5.2	8.4	14.5	23.7	41.8	100	
2. Plan lecture content.	9.45	1.04	0.0	0.0	0.4	0.0	0.0	0.4	1.2	4.4	6.0	19.7	67.5	99.6	
3. Publish academic books.	6.88	2.79	2.8	2.4	4.4	5.2	2.4	14.5	8.4	9.2	16.1	10.4	24.1	100	
4. Analyse research data.	8.61	1.72	0.4	0.4	1.2	0.4	0.8	1.6	4.4	8.8	18.5	24.1	39.0	99.6	
5. Deliver lectures.	9.52	0.85	0.0	0.0	0.0	0.0	0.0	0.4	0.8	2.4	7.6	20.5	68.3	100	
6. Design appropriate assessment tasks.	8.93	1.41	0.0	0.0	1.2	0.0	0.4	1.2	3.2	5.2	16.1	27.7	44.6	99.6	
7. Supervise undergraduate degree students.	9.16	1.17	0.0	0.0	0.0	0.0	0.4	0.8	2.0	6.8	14.1	20.5	54.6	99.2	
8. Participate in research projects.	9.15	1.39	0.4	0.4	0.4	0.0	0.4	0.8	0.8	4.8	12.9	24.1	54.2	99.2	
9. Supervise master's degree candidates.	8.95	1.60	0.4	0.4	1.2	0.0	0.0	1.2	2.4	7.6	13.7	20.9	51.4	99.2	
10. Take charge of research projects.	8.59	1.93	1.6	0.8	0.0	0.4	0.4	3.2	3.2	10.0	15.3	21.7	42.6	99.2	
11. Assign grades accurately.	8.78	1.43	0.4	0.0	0.0	0.4	0.0	3.2	2.0	8.8	18.1	28.1	39.0	100	

APPENDIX H.3 (continued)

Descriptive Analysis of Research Self-Efficacy and Teaching Self-Efficacy Items

Items	<i>M</i>	<i>SD</i>	Scale (%)											
			0	10	20	30	40	50	60	70	80	90	100	Total
12. Present papers at domestic conferences.	9.34	1.23	0.0	0.0	0.8	0.0	0.0	1.2	2.0	3.6	6.4	20.9	64.3	99.2
13. Cater for students' learning differences.	8.09	1.45	0.0	0.0	0.0	1.2	0.8	2.4	7.2	18.5	29.7	20.5	19.3	99.6
14. Revise teaching strategies.	8.67	1.46	0.0	0.4	0.0	0.8	0.0	2.4	4.0	8.4	22.5	24.5	36.1	99.2
15. Win research funds.	6.52	2.95	5.6	2.8	5.2	3.6	4.0	12.4	7.6	12.9	15.7	10.8	18.9	99.6
16. Publish articles in domestic journals.	8.50	1.95	0.8	0.8	0.4	0.4	0.8	5.2	5.2	10.0	14.9	16.1	45.0	99.6
17. Revise teaching material.	9.22	1.10	0.0	0.0	0.0	0.0	0.0	1.2	2.0	4.4	14.1	21.7	55.8	99.2
18. Mark assessment tasks.	9.24	1.12	0.0	0.0	0.0	0.0	0.0	1.2	1.2	6.4	14.1	17.3	59.0	99.2
19. Publish textbooks.	5.96	3.07	8.0	2.4	6.0	6.4	5.6	15.3	6.4	11.6	13.3	8.4	15.7	99.2
20. Assess students' performances.	8.89	1.29	0.0	0.0	0.4	0.0	0.4	1.6	2.4	6.8	19.7	27.3	40.2	98.8
21. Identify intended learning outcomes.	8.67	1.48	0.4	0.0	0.4	0.4	0.4	2.0	3.2	8.0	23.3	26.1	34.5	98.8
22. Publish articles in international journals.	8.52	2.01	1.2	0.8	0.4	0.8	0.0	6.0	4.4	8.0	14.5	18.5	45.0	99.6

APPENDIX H.3 (continued)

Descriptive Analysis of Research Self-Efficacy and Teaching Self-Efficacy Items

Items	<i>M</i>	<i>SD</i>	Scale (%)											Total
			0	10	20	30	40	50	60	70	80	90	100	
23. Consult with students.	9.29	1.09	0.0	0.0	0.0	0.4	0.0	0.4	1.6	4.8	11.2	22.1	58.2	98.8
24. Present papers in international conferences.	9.05	1.70	0.8	0.0	1.6	0.8	0.0	1.2	1.6	4.0	10.0	23.7	55.8	99.6
25. Supervise doctoral degree candidates.	8.49	2.22	2.4	0.8	1.2	0.4	0.8	4.4	2.8	5.2	16.1	20.1	45.4	99.6

Note. *N* = 249.

APPENDIX H.4

Descriptive Analysis of Performance Appraisal Self-Efficacy Items

Items			Scale (%)											
	<i>M</i>	<i>SD</i>	0	10	20	30	40	50	60	70	80	90	100	Total
1. Complete a self-appraisal report for your performance appraisal.	8.74	1.46	0.0	0.0	0.0	0.0	1.2	2.4	6.0	8.0	18.1	19.7	42.2	97.6
2. Provide evidence of your achievements at performance appraisal meetings.	8.70	1.45	0.0	0.0	0.0	0.4	0.8	1.6	6.0	10.8	16.1	22.9	39.4	98.0
3. Understand the criteria used in performance appraisal.	7.93	2.05	0.0	1.2	1.6	1.2	2.0	6.8	6.0	15.3	17.7	18.5	27.3	97.6
4. Challenge evidence presented during performance appraisal that you believe to be inaccurate.	8.11	2.04	0.4	0.4	1.2	2.4	1.6	6.0	5.6	9.2	20.5	18.9	30.9	97.2

APPENDIX H.4 (continued)

Descriptive Analysis of Performance Appraisal Self-Efficacy Items

Items	<i>M</i>	<i>SD</i>	Scale (%)											Total
			0	10	20	30	40	50	60	70	80	90	100	
5. Openly discuss performance appraisal feedback with an appraiser(s).	8.18	1.95	0.4	0.0	0.4	2.0	2.8	5.6	6.0	12.0	17.3	17.3	34.1	98.0
6. Provide accurate ratings in self-appraisal.	8.19	1.76	0.0	0.4	0.4	0.8	1.2	6.4	6.8	13.3	17.7	22.9	27.7	97.6
7. Explain reasons for assigning specific ratings in your self-appraisal.	8.48	1.68	0.4	0.0	0.4	0.0	2.0	2.8	6.0	10.8	20.1	18.5	36.9	98.0
8. Communicate your professional development needs during performance appraisal.	7.96	2.07	1.2	0.0	2.4	0.4	1.6	4.8	8.4	12.4	20.1	19.7	26.5	97.6

Note. *N* = 249.

APPENDIX I

Survey Questionnaire for the Vietnamese Sample

PHIẾU CÂU HỎI

PHẦN A: Xin điền vào các thông tin hoặc đánh dấu vào các ô chọn thích hợp.

- Giới tính: ☐ Nam ☐ Nữ
- Tuổi: _____
- Trình độ học vấn cao nhất:
☐ Đại học: ☐ Thạc sỹ ☐ Tiến sỹ
☐ Khác: _____
- Chức danh:
☐ Giảng viên
☐ Giảng viên chính
☐ Phó giáo sư
☐ Giáo sư
☐ Khác: _____
- Nhiệm vụ đảm nhận (có thể chọn hơn một):
☐ Giảng dạy ☐ Nghiên cứu
☐ Quản lý
- Số năm công tác (tính tròn cả năm hiện tại): _____
- Thầy, Cô thường xuyên tham gia đánh giá công chức tại trường:
☐ 6 tháng/lần ☐ Hàng năm Khác: _____

PHẦN B: Những câu sau liên quan đến **ĐÁNH GIÁ GIẢNG VIÊN**; xin cho biết mức độ đồng ý của Thầy, Cô ở mỗi câu bằng cách chọn vào ô thích hợp. Ví dụ: nếu Thầy, Cô hoàn toàn không đồng ý, chọn 0; nếu Thầy, Cô hoàn toàn đồng ý, chọn 4. Chọn các mức 1, 2, 3 theo mức độ đồng ý của Thầy, Cô ở mỗi câu.

	hoàn toàn không đồng ý							hoàn toàn đồng ý
	0	1	2	3	4			
1. Việc đánh giá được thực hiện trong không khí hợp tác.	0	1	2	3	4			
2. Tôi hiểu rõ những mong đợi của người đánh giá.	0	1	2	3	4			
3. Tôi tin tưởng quá trình đánh giá.	0	1	2	3	4			
4. Việc chấm điểm của người đánh giá là đáng tin cậy.	0	1	2	3	4			
5. Quá trình đánh giá là công bằng.	0	1	2	3	4			
6. Người đánh giá nhận xét tôi công bằng như đối với các giảng viên khác.	0	1	2	3	4			
7. Nỗ lực bản thân tôi dành cho công việc quan trọng cho việc đánh giá.	0	1	2	3	4			
8. Tôi sẵn sàng tiếp nhận các phản hồi đánh giá.	0	1	2	3	4			
9. Tôi có thể thảo luận với người đánh giá các khó khăn liên quan đến công việc, dù việc này có thể ảnh hưởng không tốt đến việc chấm điểm đánh giá.	0	1	2	3	4			

PHẦN C: Trong những câu hỏi sau, xin cho biết mức độ đồng ý của Thầy, Cô ở mỗi câu bằng cách đánh chọn vào ô thích hợp. Ví dụ: nếu Thầy, Cô hoàn toàn không đồng ý, chọn 0; nếu Thầy, Cô hoàn toàn đồng ý, chọn 4. Chọn các mức 1, 2, 3 theo mức độ đồng ý của Thầy, Cô ở mỗi câu.

	hoàn toàn không đồng ý						hoàn toàn đồng ý
	0	1	2	3	4		
1. Tôi thích mình là nổi bật và khác biệt với đồng nghiệp ở nhiều phương diện.	0	1	2	3	4		
2. Tôi tránh sự tranh cãi, ngay cả khi bất đồng.	0	1	2	3	4		
3. Tôi quý trọng người khiêm tốn.	0	1	2	3	4		
4. Tôi thấy hành động độc lập là rất quan trọng.	0	1	2	3	4		
5. Tôi thích thẳng thắn và trực tiếp khi giao tiếp với mọi người.	0	1	2	3	4		
6. Tôi cảm thấy hợp tác với mọi người là điều tốt.	0	1	2	3	4		
7. Nếu bạn đồng nghiệp giúp đỡ, tôi cần phải giúp lại.	0	1	2	3	4		
8. Tôi thích khi cá nhân được khen tặng.	0	1	2	3	4		
9. Tôi thường cảm thấy việc giữ quan hệ với mọi người còn quan trọng hơn cả thành tích cá nhân.	0	1	2	3	4		
10. Hình ảnh cá nhân, độc lập với người khác, là quan trọng.	0	1	2	3	4		
11. Duy trì sự hài hòa trong cơ quan là quan trọng.	0	1	2	3	4		
12. Sự trợ giúp của đồng nghiệp là cần thiết để có kết quả tốt trong công việc.	0	1	2	3	4		

PHẦN D: Các câu sau đề cập đến những hoạt động liên quan đến VIỆC ĐÁNH GIÁ GIẢNG VIÊN. Chọn tỉ lệ thích hợp cho thấy MỨC ĐỘ THẦY, CÔ TIN TƯỞNG CÓ THỂ THỰC HIỆN THÀNH CÔNG CÁC CÔNG VIỆC. Ví dụ: nếu Thầy, Cô hoàn toàn tin có thể thực hiện thành công, chọn tỉ lệ 100%. Nếu Thầy, Cô hoàn toàn không tin có thể thực hiện thành công, chọn 0%. Chọn tỉ lệ thích hợp cho mỗi công việc sau đây.

1. Khởi thảo các ý tưởng nghiên cứu.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
2. Soạn nội dung bài giảng.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
3. Biên soạn sách chuyên môn.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
4. Xử lý số liệu nghiên cứu.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
5. Giảng bài.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
6. Thiết kế bài tập thích hợp đánh giá sinh viên.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
7. Hướng dẫn luận văn cho sinh viên đại học.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
8. Tham gia đề tài nghiên cứu khoa học.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
9. Hướng dẫn học viên cao học (thạc sỹ).	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%

10. Chủ nhiệm đề tài nghiên cứu.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
11. Cho điểm sinh viên chính xác.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
12. Trình bày báo cáo tại hội nghị trong nước.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
13. Đáp ứng những khác biệt trong cách học của sinh viên.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
14. Điều chỉnh phương pháp giảng dạy.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
15. Nhận được các tài trợ nghiên cứu.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
16. Đăng bài trên tạp chí trong nước.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
17. Hiệu chỉnh tài liệu giảng dạy.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
18. Chấm bài.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
19. Biên soạn giáo trình.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
20. Đánh giá sinh viên.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
21. Nhận biết những kết quả học tập sinh viên mong muốn đạt được.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
22. Đăng bài trên tạp chí quốc tế.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
23. Tư vấn sinh viên.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
24. Trình bày báo cáo ở hội nghị quốc tế.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
25. Hướng dẫn luận án tiến sỹ (nghiên cứu sinh).	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%

PHẦN E: Các câu sau đề cập đến VIỆC ĐÁNH GIÁ GIẢNG VIÊN. Xin chọn tỉ lệ thích hợp cho thấy MỨC ĐỘ THẤY, CÔ TIN TƯỞNG CÓ THỂ THỰC HIỆN THÀNH CÔNG CÁC CÔNG VIỆC. Ví dụ: nếu Thầy, Cô hoàn toàn tin có thể thực hiện thành công, chọn tỉ lệ 100%. Nếu Thầy, Cô hoàn toàn không tin có thể thực hiện thành công, chọn 0%. Chọn tỉ lệ thích hợp cho mỗi công việc sau đây.

1. Hoàn thành phiếu tự đánh giá.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
2. Đưa ra những thành tích cá nhân đạt được trong hợp đánh giá.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
3. Nắm vững tiêu chí đánh giá.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
4. Không đồng tình về những thông tin đánh giá mà Thầy, Cô tin là không chính xác.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
5. Công khai thảo luận với người đánh giá về các nhận xét đánh giá.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
6. Chấm điểm đúng trong phần tự đánh giá.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
7. Giải thích lý do việc chấm điểm các mục trong phần tự đánh giá.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
8. Trình bày nhu cầu phát triển nghề nghiệp trong quá trình đánh giá.	0%	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%

PHẦN F: *Xin quý Thầy, Cô cho biết những nhận xét về công tác đánh giá tại trường.*

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Chân thành cảm ơn sự hợp tác của quý giảng viên.

APPENDIX J

Invitation Letter to Participate in Main Study (Vietnamese)

Kính gửi: Thầy / Cô <chức danh, họ và tên>

Tôi là Lưu Nguyễn Quốc Hưng, giảng viên của Trường Đại học Cần Thơ, đại diện cho nhóm nghiên cứu hiện đang thực hiện đề tài nghiên cứu tại Khoa Giáo dục, Trường Đại học Wollongong, Úc. Mục đích đề tài nhằm tìm hiểu những yếu tố văn hóa và nhận thức xã hội của giảng viên đối với việc đánh giá giảng viên. Kết quả nghiên cứu nhằm cung cấp cơ sở lý thuyết và đưa ra hướng nghiên cứu trong tương lai.

Quý giảng viên được lựa chọn ngẫu nhiên để tham gia trả lời bảng câu hỏi khảo sát trực tuyến. Sự tham gia của quý giảng viên là hoàn toàn tự nguyện và việc trả lời không xác định danh tánh. Thời gian trả lời không quá **10 phút**.

Để trả lời câu hỏi, quý giảng viên bấm chọn vào đường kết nối sau:

https://www.surveymonkey.com/s/Academic_Performance_Appraisal_VN

(Quý giảng viên cũng có thể copy và paste đường kết nối vào địa chỉ Internet Browser, ví dụ: Internet Explorer hay Firefox, để truy cập vào trang khảo sát)

Rất chân thành cảm ơn sự hợp tác của quý giảng viên tham gia trả lời bảng câu hỏi khảo sát. Nếu quý giảng viên cần trao đổi thêm thông tin, đề nghị hay thắc mắc liên quan đến đề tài, xin liên hệ với nhóm nghiên cứu qua email:

lnqhung@ctu.edu.vn, hay điện thoại 0918 972 445.

Trân trọng.

TM nhóm nghiên cứu

Lưu Nguyễn Quốc Hưng

APPENDIX K.1

Descriptive Analysis of Vietnamese Trust in Performance Appraisal Items

Items	<i>M</i>	<i>SD</i>	Scale (%)					Total
			0	1	2	3	4	
1. Performance appraisal is conducted in a climate of cooperation.	3.06	0.95	0.5	6.3	20.0	32.7	40.5	100
2. Appraiser(s)' expectations for my work performance are clear during the performance appraisal.	2.77	0.95	2.0	7.8	23.4	44.4	22.0	99.5
3. I trust the performance appraisal process.	2.33	1.11	6.8	14.6	32.7	30.7	15.1	100
4. I rely on the appraiser's performance appraisal ratings.	2.28	1.05	6.3	15.1	32.7	35.1	10.2	99.5
5. The performance appraisal process in my university is fair.	2.30	1.08	5.9	16.6	31.2	33.2	12.7	99.5
6. Appraiser(s) evaluates my performance fairly in relation to other staff.	2.56	1.08	4.4	12.2	26.8	36.6	20.0	100
7. How much effort I put into my job is important for my performance appraisal.	2.84	1.09	3.9	7.8	20.5	34.6	32.2	99.0
8. I am open to performance appraisal feedback from the appraiser(s).	3.47	0.75	0.5	2.0	6.3	32.2	57.6	98.5
9. I can discuss work-related problems, which might negatively affect my performance appraisal ratings, with the appraiser(s).	2.94	1.03	2.4	6.8	21.0	34.1	35.6	100

Note. *N* = 205.

APPENDIX K.2

Descriptive Analysis of Vietnamese Idiocentrism and Allocentrism Items

Items	<i>M</i>	<i>SD</i>	Scale (%)					Total
			0	1	2	3	4	
1. I enjoy being unique and different from my colleagues in many aspects.	1.69	1.12	20.0	19.0	36.6	20.5	3.9	100
2. Even when I strongly disagree with people, I avoid an argument.	2.26	1.28	11.2	17.6	24.9	26.3	20.0	100
3. I respect people who are modest about themselves.	3.59	0.61	0.0	0.5	5.4	29.3	64.9	100
4. I feel it is important for me to act as an independent person.	2.63	1.16	7.8	7.3	23.4	36.6	24.4	99.5
5. I prefer to be direct and forthright when dealing with people.	3.42	0.74	0.5	0.5	10.7	32.7	55.1	99.5
6. I feel good when I cooperate with others.	3.59	0.65	0.0	1.0	5.9	25.9	66.8	99.5
7. If a colleague lends me a helping hand, I need to return the favour.	3.41	0.75	0.5	1.5	8.3	35.6	54.1	100
8. I am comfortable with being singled out for praise or rewards.	2.33	0.96	3.4	12.7	43.4	28.3	12.2	100
9. I often have the feeling that my relationships with others are more important than my own accomplishments.	3.17	0.83	0.5	2.4	16.6	40.5	40.0	100
10. My personal identity, independent of others, is very important to me.	2.35	1.04	6.8	11.2	33.2	37.1	11.2	99.5
11. It is important for me to maintain harmony within my faculty/school.	3.53	0.69	0.5	0.5	6.8	29.3	62.4	99.5
12. Colleagues' assistance is indispensable to good performance at work.	3.45	0.67	0.0	0.5	8.8	35.6	55.1	100

Note. *N* = 205.

APPENDIX K.3

Descriptive Analysis of Research Self-Efficacy and Teaching Self-Efficacy Items

Items	Scale (%)													
	<i>M</i>	<i>SD</i>	0	10	20	30	40	50	60	70	80	90	100	Total
1. Initiate research ideas.	7.23	1.80	0.0	0.5	1.5	1.5	2.0	15.6	9.8	13.7	31.7	16.6	6.8	99.5
2. Plan lecture content.	8.74	1.48	0.0	0.0	1.0	0.0	1.5	2.4	1.5	7.8	19.0	29.8	37.1	100
3. Publish academic books.	7.18	2.17	1.0	2.0	1.5	1.5	3.9	11.7	9.3	16.1	22.9	18.5	11.2	99.5
4. Analyse research data.	7.57	1.97	1.0	0.5	1.0	1.0	1.5	10.7	9.8	13.2	26.8	17.6	16.1	99.0
5. Deliver lectures.	8.79	1.36	0.0	0.0	0.0	0.5	0.5	3.9	2.4	4.4	20.0	32.7	35.6	100
6. Design appropriate assessment tasks.	8.48	1.34	0.0	0.0	0.0	0.5	1.0	2.4	4.4	10.7	21.0	38.5	21.5	100
7. Supervise undergraduate degree students.	7.92	2.05	2.4	0.5	0.5	1.5	0.5	3.9	6.8	11.2	26.3	27.3	18.0	99.0
8. Participate in research projects.	7.98	1.90	0.5	0.5	1.0	1.0	1.0	9.8	3.4	11.2	24.9	23.4	22.0	98.5
9. Supervise master's degree candidates.	4.80	3.70	26.8	4.4	2.0	1.5	3.4	11.2	4.4	8.3	12.2	14.6	5.9	94.6
10. Take charge of research projects.	6.76	3.14	9.8	2.4	2.0	2.4	2.0	9.3	4.4	11.7	17.6	18.0	18.0	97.6
11. Assign grades accurately.	8.74	1.43	0.5	0.0	0.5	0.5	0.5	0.5	3.4	6.3	19.0	36.1	31.7	99.0

APPENDIX K.3 (continued)

Descriptive Analysis of Research Self-Efficacy and Teaching Self-Efficacy Items

Items	Scale (%)													
	<i>M</i>	<i>SD</i>	0	10	20	30	40	50	60	70	80	90	100	Total
12. Present papers at domestic conferences.	7.08	2.66	5.9	2.0	1.0	1.5	1.5	9.3	9.3	14.1	19.0	21.0	14.1	98.5
13. Cater for students' learning differences.	7.91	1.56	0.0	0.0	0.5	1.5	0.5	6.3	6.3	19.5	22.4	30.2	12.2	99.5
14. Revise teaching strategies.	8.61	1.26	0.0	0.0	0.5	0.5	0.0	1.5	2.9	8.8	22.9	40.0	22.4	99.5
15. Win research funds.	5.64	3.24	11.2	4.9	5.9	4.4	6.3	11.7	5.9	10.2	16.1	10.7	10.7	98.0
16. Publish articles in domestic journals.	6.38	2.92	6.8	3.4	2.4	4.9	4.9	10.7	7.8	14.6	16.6	14.6	12.2	99.0
17. Revise teaching material.	8.07	1.99	2.4	0.0	0.5	0.0	2.4	4.4	4.4	9.3	25.9	29.3	20.5	99.0
18. Mark assessment tasks.	8.79	1.55	0.0	0.0	0.5	0.0	0.5	5.4	3.4	7.8	12.7	23.9	45.4	99.5
19. Publish textbooks.	7.72	2.40	5.4	0.0	1.0	0.5	0.5	6.3	3.4	13.2	23.4	28.3	18.0	100
20. Assess students' performances.	8.54	1.39	0.0	0.0	0.5	0.5	0.0	2.9	4.9	8.8	21.5	34.6	25.9	99.5
21. Identify intended learning outcomes.	8.29	1.43	0.5	0.0	0.0	0.5	0.0	4.4	4.9	8.8	26.8	36.6	14.6	97.1

APPENDIX K.3 (continued)

Descriptive Analysis of Research Self-Efficacy and Teaching Self-Efficacy Items

Items	Scale (%)													
	<i>M</i>	<i>SD</i>	0	10	20	30	40	50	60	70	80	90	100	Total
22. Publish articles in international journals.	5.12	3.57	14.1	9.3	7.3	4.4	2.9	15.1	3.9	5.4	9.3	9.3	14.6	95.6
23. Consult with students.	8.06	1.77	0.5	0.0	0.5	1.5	1.0	6.3	6.3	12.2	21.5	27.8	20.0	97.6
24. Present papers in international conferences.	5.05	3.67	16.1	11.2	6.8	2.4	2.4	9.3	6.8	5.9	9.8	12.2	12.2	95.1
25. Supervise doctoral degree candidates.	2.92	3.70	48.3	7.3	2.0	0.5	2.0	7.3	2.9	5.4	5.4	5.4	6.8	93.2

Note. *N* = 205.

APPENDIX K.4

Descriptive Analysis of Performance Appraisal Self-Efficacy Items

Items	Scale (%)													
	<i>M</i>	<i>SD</i>	0	10	20	30	40	50	60	70	80	90	100	Total
1. Complete a self-appraisal report for your performance appraisal.	8.66	1.99	1.5	0.5	0.5	0.5	0.0	5.4	3.9	7.3	9.3	22.0	46.8	97.6
2. Provide evidence of your achievements at performance appraisal meetings.	7.84	2.19	2.4	1.0	0.5	1.5	1.0	7.3	3.9	10.7	23.4	26.8	19.0	97.6
3. Understand the criteria used in performance appraisal.	8.39	1.78	0.0	1.0	0.0	1.0	1.5	6.3	2.9	8.3	18.5	27.8	30.2	97.6
4. Challenge evidence presented during performance appraisal that you believe to be inaccurate.	7.72	2.27	1.5	0.0	2.4	2.4	1.5	9.8	5.4	9.8	21.0	18.5	24.4	96.6

APPENDIX K.4 (continued)

Descriptive Analysis of Performance Appraisal Self-Efficacy Items

Items	Scale (%)													
	<i>M</i>	<i>SD</i>	0	10	20	30	40	50	60	70	80	90	100	Total
5. Openly discuss performance appraisal feedback with an appraiser(s).	7.62	2.48	2.9	2.0	1.0	1.5	0.0	10.7	7.8	8.8	18.0	20.0	24.9	97.6
6. Provide accurate ratings in self-appraisal.	8.58	1.68	0.5	0.0	0.0	1.5	0.5	4.9	2.9	6.8	20.0	24.4	36.1	97.6
7. Explain reasons for assigning specific ratings in your self-appraisal.	8.21	1.83	0.5	0.0	0.5	1.0	0.5	8.3	6.8	7.8	20.0	23.4	28.3	97.1
8. Communicate your professional development needs during performance appraisal.	8.11	1.98	1.0	0.0	0.5	1.5	2.9	8.3	2.0	6.8	24.9	2.9	26.3	97.1

Note. *N* = 205.