

# Exploration on the Performance Evaluation Reform of Private University Teachers Based on the “KPI Plus Competency” Dual-Track System\*

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**Abstract**—Performance appraisal is the core content of human resources management in private colleges and universities. With the goal of building college teachers' competence, building an evaluation system around KPI indicators can promote the continuous improvement of university teachers' performance and ensure the stability and competitiveness of private college teachers. Through in-depth interview research and literature collection, this paper analyzes the status quo of the performance evaluation system of private colleges, summarizes the five shortcomings of the current performance evaluation system, and discusses the feasibility and necessity of the "KPI plus Competency" dual-track assessment. Aiming at the characteristics of the human resources team in private colleges and universities, this paper puts forward four countermeasures and suggestions, systematically sorts out the existing performance evaluation system of private colleges, and puts forward the application idea of constructing the performance evaluation system of private college teachers' dual-track system.

**Keywords**—competency; KPI; private colleges; performance evaluation

## I. INTRODUCTION

"The Medium and Long-Term Education Reform and Development Plan (2010-2020)", promulgated in July 2010, proposes the goal of "to further increase the level of popularization of higher education and achieve a 40% gross enrollment rate by 2020". With the support of increasing education funding, higher education has shifted from elite education to mass education. Different from the theoretical and academic-oriented public universities, most private colleges and universities take the successful employment of students as the goal of talent training, flexibly adjust according to the employment market trend in the setting of disciplines, and focus on practical operation in curriculum

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design and usually have direct cooperation with related companies to cultivate students' practical work ability. Therefore, private universities can enjoy the market dividend of application-type talents overflowing in the Chinese labor market where application talents are scarce. The above trend has prompted Chinese private colleges to enter a stage of rapid development. As of March 2018, 467 private colleges and universities were set up independently in China.

## II. PREREQUISITES FOR THE REFORM OF PERFORMANCE APPRAISAL OF PRIVATE COLLEGE TEACHERS

Private colleges and public universities have great differences in ownership structure, funding sources and management models. Therefore, the human resources team of private colleges and universities has the following shortcomings compared with public universities, which has become a prerequisite for the reform of private college teachers.

Firstly, private colleges and universities need to "support schools by schools". Most of the students' tuition fees should be invested in the construction of the school. Therefore, the school pays attention to the number of students enrolled, and the teachers' teaching tasks are heavy. They can't devote themselves to scientific research and other work that is conducive to career development like public universities;

Secondly, private colleges and universities are not as attractive to talents as public schools, which results in an imbalance in the construction of human resources team echelons, showing a large proportion of young teachers and teachers with medium and low professional titles, and a small proportion of teachers with high academic qualifications and high professional titles;

Thirdly, due to the limited financial strength of private colleges and universities, the salary level is lower than that of public institutions, and the welfare projects are not perfect. Therefore, the human resources team is unstable and the turnover rate is high. The research shows that the turnover rate of human resources in many local private universities is more than 20%. How to retain excellent employees through the performance incentive system has become an important issue for private colleges and universities;

Fourthly, the management personnel of private colleges and universities present the characteristics of "double shoulder task", which requires both management functions and teaching tasks.

### III. THE SHORTCOMINGS OF THE EXISTING PERFORMANCE EVALUATION SYSTEM FOR PRIVATE COLLEGE TEACHERS

Through a large number of interviews and investigations on the performance evaluation system of private colleges and universities, the author finds that compared with public institutions, the existing performance appraisal mechanism of private colleges has the following shortcomings:

#### A. *The Assessment Target*

All teachers of private universities implement a unified assessment plan. There is no distinction between the assessment methods of management personnel and professionals in colleges and universities, which leads to the phenomenon that the assessment indicators of the management staff are not comprehensive and the incentive of "doing more work and getting less money" is not enough.

#### B. *The Assessment Method*

The assessment method is relatively simple; generally before the assessment, all teachers should fill out the assessment form, and the completion of the school year should be considered as the main assessment indicators, and the results of evaluation and after-the-fact feedback should be focused; after the form is directly scored by the superior, teachers can only see the results of the assessment. There is no two-way effective communication in the process, which can not enable employees to find the shortcomings of performance and carry out continuous and effective improvement.

#### C. *The Assessment Indicators*

The current performance appraisal indicators are generally divided into two categories of teaching and research indicators, and are result-oriented, which lacks process rewards, resulting in a lack of close integration of performance appraisal indicators and college strategy. After the performance appraisal work is over, it is impossible to effectively guide employees to combine personal goals and organizational goals, and it is impossible to mobilize the enthusiasm of employees to undertake new tasks and new projects in the school.

#### D. *The Assessment Score*

Based on self-assessment and leadership scores, the evaluation process lacks communication with the assessed person, the process is not transparent, and the evaluation results are easy to cause controversy.

#### E. *The Way of Linking Performance Results*

The evaluation results are generally linked to performance pay. The gap between excellent employees and

ordinary employees is not obvious, and the incentive effect is limited.

### IV. THE NECESSITY AND FEASIBILITY ANALYSIS OF IMPLEMENTING THE REFORM OF TEACHERS' ASSESSMENT IN PRIVATE COLLEGES AND UNIVERSITIES BASED ON THE "KPI PLUS COMPETENCY" DUAL-TRACK SYSTEM

Based on the above five problems of the performance evaluation system of private universities and the current human resources characteristics, this paper considers the necessity and feasibility of optimizing the performance evaluation system of private college teachers by constructing the performance index of "KPI + Competency".

#### A. *The KPI Assessment Is the Basis of Effective Combination with the Strategy of Private Colleges and Universities*

Since private colleges and universities are mainly funded by tuition fees and folk donations, they need to be closely integrated with the school's strategy. Through the KPI decomposition, the teacher's performance appraisal is effectively combined with the school's strategic goals. The index design method is reasonable and easy to operate, which can enable to achieve docking and smooth transition with the pre-reform program.

#### B. *The Teacher Competency Assessment is the Guarantee for the Sustainable Development of Human Resources of Private College Teachers*

The concept of competency was first proposed by American psychologist David McClelland in the 1970s, referring to the key characteristics of employees' values, motivations, personalities or attitudes, skills, abilities, and knowledge in their work situations, which can significantly distinguish individual characteristics of good and general performance. Researchers generally agree with the following views: the competence of college teachers is related to the ability of college teachers to successfully perform their functions; it is the comprehensive performance of the professional knowledge, professional ability, professional values and personal traits of teaching and research related work. The current assessment of private colleges and universities is based on performance appraisal, and lacks the construction of competency indicators to promote the development of university teachers' abilities. The combination of the teacher competency model and the KPI performance evaluation system of private college teachers can provide theoretical ideas for the establishment of a more complete performance evaluation system, provide strong support for motivating the existing teachers and improve the positional competence of the private university teachers.

#### C. *Based on the "KPI Plus Competency" Dual-track Assessment, the Performance Management Integrity and Continuous Improvement Principles Can Be Achieved*

Based on the "KPI+ Competency" assessment, the teachers need to conduct all-round communication in the early, middle and late stages of the assessment; through the

previous target responsibility letter, the mid-term assessment indicators confirmation and scoring, and the later performance interviews and other diversified feedback mechanisms, a complete PDCA performance management cycle system can be established; it is also of great importance to establish a scientific and reasonable performance and salary promotion linkage system, truly show the performance appraisal results; by enlarging the teacher gap through the assessment level, the teachers' sense of competition and crisis can be improved; and employees can continue to improve their performance.

strategic focus of private colleges and universities can be got, and the performance appraisal indicators can be decomposed into four categories indicators of talent training, scientific research, achievement rewards, subject professional construction and social services and characteristic creation. Then the school's key performance fishbone diagram — the teacher KPI performance indicators and competency indicators are decomposed, as shown in "Fig. 1". After the first-level indicators are constructed, the project leader will guide each department to design, discuss and report the evaluation indicators, and then summarize them into a library of teacher performance indicators. The weights and indicators will be adjusted and updated according to the college strategy each semester.

V. APPLICATION IDEA OF IMPLEMENTING THE "KPI PLUS COMPETENCY" DUAL-TRACK SYSTEM TO IMPLEMENT THE REFORM OF TEACHERS' ASSESSMENT IN PRIVATE COLLEGES AND UNIVERSITIES

A. Decomposing the Library of Colleges and Teachers' Performance Indicators According to the Principle of Strategic Orientation

By referring to the 2019 "Undergraduate (civilian-run) Target Evaluation Index System of Fujian Province", the

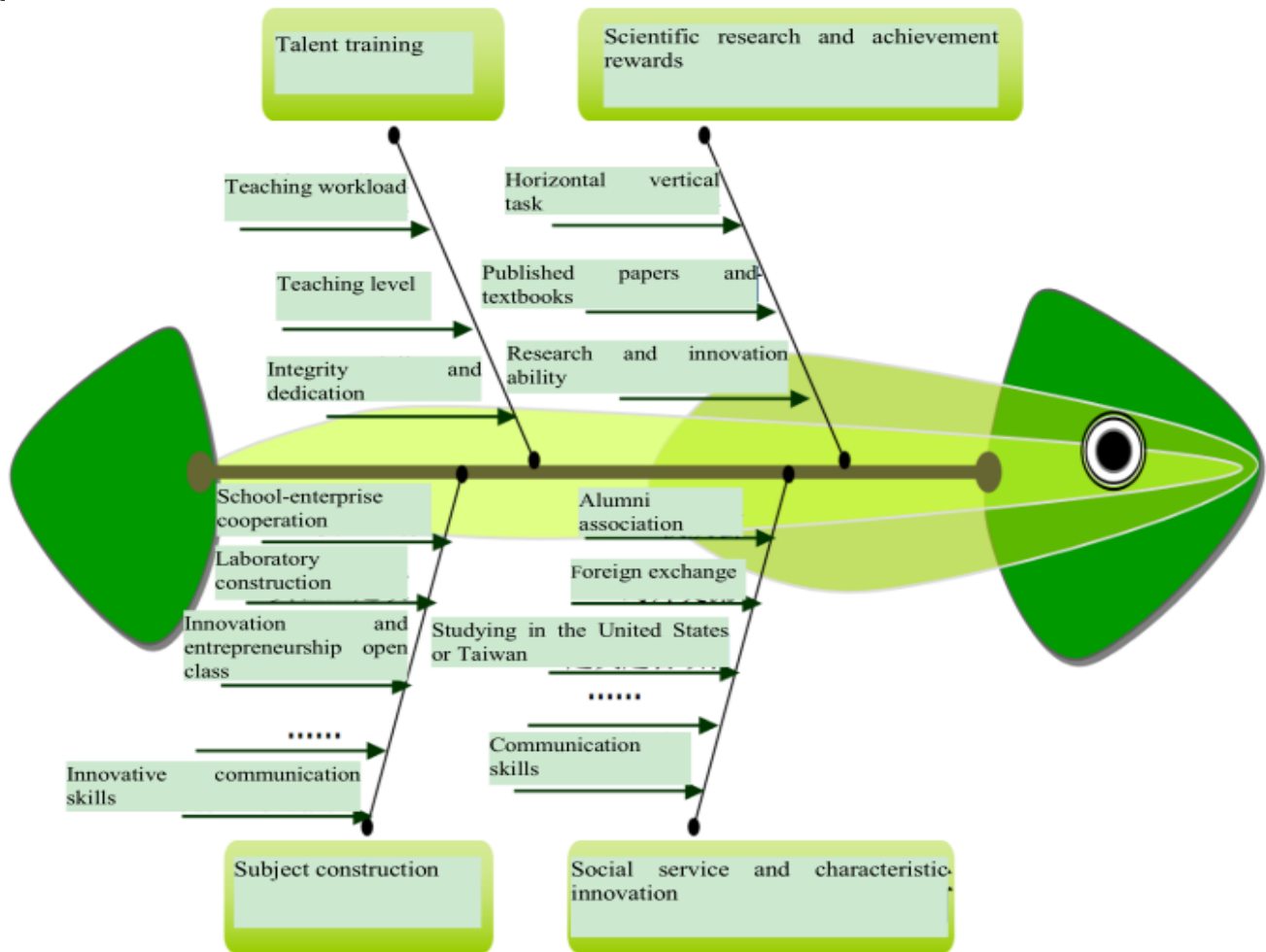


Fig. 1. The school's key performance fishbone diagram.

**B. Refining the Evaluation Criteria of the Two Types of Indicators, and Combining the “KPI Performance Evaluation Plus Post Competency Indicators”**

As shown in "Table I", the weight of the primary indicators is confirmed and the indicator system is refined. The KPI indicators and the evaluation criteria of the post competency indicators are clarified, and the data sources are determined, so that the indicators can be quantitatively assessed, and the results can be used to supervise the completion of the KPI indicators of the teachers, and the

teachers can be measured from the competency indicators so as to supervise its continuous improvement and enhancement.

It is necessary to distinguish between teacher positions and management positions in the competency indicators, so that the evaluation indicators of the management positions teachers can be effectively distinguished from the ordinary teachers, embodying the characteristics of "double shoulder task" and enabling effective teachers to be effectively motivated.

TABLE I. CLASSIFICATION OF TEACHERS' ASSESSMENT INDICATORS FOR PRIVATE COLLEGES AND UNIVERSITIES

Indicator category	Assessment index classification	Specific content of the assessment indicators	Data sources
<b>KPI indicator 70%-80%</b>	Talent training	Including teacher workload, teaching workload	Academic Affairs Office
	Applied research	Including vertical topics, horizontal topics, papers, and textbooks.	Departments
	Professional construction	Including education reform project implementation, order classes, innovation and entrepreneurship, open classes, corporate regular posts, double-certification education, undergraduate salons, experimental center part-time research platform, school-enterprise cooperation, laboratory construction and so on.	Departments
	Public services and other work	Alumni associations, foreign exchanges, supervision, student tutors, projects to the United States and Taiwan, administrative management, information officers, labor union team leaders, experimental center part-time research and other work assigned by the leadership.	Departments
<b>Ordinary teacher position competency indicator 20%-30%</b>	Integrity and dedication	Teachers should adhere to the professional ethics of teachers, take the initiative to take responsibility, devote themselves to the teaching work and do their best to take action to complete the task.	Academic Affairs Office
	Teaching level	Good teaching effect, semester teaching evaluation in B class and above	Academic Affairs Office
	Research and innovation ability	In the research of academic or scientific experiments, they should have corresponding achievements, and at the same time, they need to use innovative teaching methods in the normal teaching process to improve the teaching effect.	Departments
	Communication skills	During the teaching process or during the work process, properly handling the various relationships between students and colleagues can mobilize the enthusiasm of the students to successfully complete the lectures and other tasks.	Departments
<b>Management position competency indicator 20%-30%</b>	Strategic understanding and system thinking ability	It is necessary to understand the organizational strategy, take into account the impact on the organization's long-term goals in the work, and use the overall view to make scientific decisions.	Superior evaluation
	Planning, organization and decision making	Correct understanding of the superior intention to form a work plan and enable the efficient implementation; decisive decision-making, effective organization and deployment of resources to achieve the goal.	Superior evaluation
	Team management and collaboration capabilities	It is necessary to use team members' professional skills and strengths to promote team goals, and actively cooperate with other departments to achieve corporate goals.	Superior evaluation, peer evaluation
	Cultivating subordinate abilities	Training and mentoring subordinates to improve their work skills and performance.	Superior and subordinate evaluation
	Conflict resolution capability	The ability to effectively deal with and resolve various internal conflicts and conflicts within an organization or team.	Superior evaluation

*C. According to the Principle That the Evaluation Results Are Effectively Linked to the Salary, Each Evaluation Index Is Graded Through the Points System*

According to the characteristics of private colleges and universities, the evaluation indicators are mainly based on teaching, supplemented by applied research and subject professional construction, taking into account the assessment of public service and management functions, refining the level of each indicator and assigning different points to make the assessment process more open, transparent and quantifiable. It is necessary to establishing a scientific and reasonable performance and salary promotion system, truly

implement the performance appraisal results, calculate the reasonable calculation formula by measuring the indicators before the reform, so that the new and old programs can be smoothly transitioned.

Each school year adjusts and measures the scores of different grades according to the school strategy, encourages teachers to participate in more projects that are conducive to school development, and links them with different performance levels through different assessment levels to improve the sense of competition and crisis of the teachers in all aspects (see "Table II").

TABLE II. RATINGS OF TEACHERS' ASSESSMENT INDICATORS FOR PRIVATE COLLEGES AND UNIVERSITIES

Indicator classification	Primary indicator	Secondary indicators	Indicator rating reference
<i>KPI indicator</i>	Talent training	Basic workload of teaching	Excess / up to standard / not up to standard
		Teaching Evaluation	Excellent / general / unqualified
	Applied research	Vertical problem	National/provincial/city level
		Published papers	Core / Conference Core / Undergraduate Journal / General CN
		Published monographs	Excellent monograph / general monograph
		Horizontal problem	Grade by subject amount
	Professional Construction	Student competition awards	National/city/school level
		Teaching achievement award	Special award / first prize / second prize / third prize
		Teaching reform project	National/provincial/city level
		School-enterprise cooperation	Order class / innovation entrepreneurship / corporate regular posts
		Training program	Open class / double certificate education / undergraduate salon
	Public services and other work	Laboratory construction	National/provincial/city level
		Administration	Dean/deputy dean/department head
		Foreign exchange	Alumni Association / studying in the United States or Taiwan/ information officer
<i>Post competence</i>	Teacher competency indicator	Integrity and dedication	Grade A: 1. The actual performance is significantly higher than the job ability requirements; 2. Strong growth willingness and corresponding performance, and outstanding contribution to the department or college performance, and received unanimous praise; 3. Teachers whose ability and performance can undertake more work and are willing to take on greater responsibility. Grade B: 1. The actual performance exceeds the requirements of the post capacity; 2. The work results are remarkable, there are innovations and breakthroughs in key links, and great progress or greater contribution is made; 3. Teachers whose ability and performance can undertake more work; Grade C: 1. The actual performance meets the requirements of the post ability, so that the competency-position fit can be achieved; 2. The work content requires certain innovation or challenge, and requires higher personal subjective initiative; 3. The work results are more significant without mistakes. Grade D: 1. The actual performance basically meets the requirements of the post ability; 2. The work content is relatively solid, the work ratio of the transactional operation and the solidification process is high, and the individual innovation ability requirements are general; 3. The work results are quite satisfactory, no obvious or small mistakes.
		Teaching level	
		Research and innovation ability	
		Communication skills	
	Manager competency indicator	Strategic understanding and system thinking ability	
		Planning, organization and decision making	
		Team management and collaboration capabilities	
		Cultivating subordinate abilities	
	Conflict resolution capability		

*D. Paying Attention to the Principle of Performance Improvement and Establishing the Full Process Management of PDCA Performance*

Efforts should be paid to improve the performance appraisal process, form a complete PDCA performance management cycle system, import the confirmed appraisal template into the online system, conduct paperless scoring and filling online, solidify the appraisal results, accumulate appraisal data, and improve the efficiency and confidentiality of the appraisal. It is necessary to help employees continue to improve performance through a variety of feedback mechanisms such as performance interviews.

Different assessment indicators and scoring methods should be used in management positions and teacher positions. The assessment can be divided into self-assessment, student rating, department head rating, and college leadership rating. For the principle of fairness, the self-rating is not included in the assessment score, but by designing the "Employee Self-Assessment Description" column: the staff will briefly describe the performance and ability performance in the assessment cycle to provide a more direct and objective basis for each level of the score. It is also necessary to design a "direct superior evaluation description". It needs to be filled in when the direct superior score is higher than the employee self-rating, and the assessment results will be announced after the assessment to ensure the openness, transparency and effectiveness of the assessment results.

## VI. CONCLUSION

The "KPI+ Competency" dual-track system provides a method to integrate two classic tools of human resources, which provides a new perspective for building a new performance management system for private college teachers. It is necessary to introduce the competency theory and method into the human resource management of the application-oriented private college teachers, and on this basis, it is needed to establish the performance appraisal mechanism of college teachers from the perspective of competency quality theory, which is beneficial to improve the strategic, accuracy and inspiration of teacher performance appraisal, help teachers to grow into high-quality and talented talents for private universities, so as to improve the overall performance of the applied-oriented private college teachers. This is of great practical significance for promoting the selection, breeding, using and maintaining of human resources teams in private universities, accelerating the development of applied private colleges and promoting the strategy of reinvigorating China through human resource development.

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