GUIDE TO
INNOVATIVE LEADERSHIP

VVOB VIETNAM
Foreword

While the higher education network in our country is widely developed, with significant potential both in terms of human resources and physical infrastructure, universities and colleges still face many challenges in terms of teaching quality and management mechanisms. In the words of Professor Tran Hong Quan, former minister of education and training, Vietnam’s higher education system remains “poor, backward, stagnant and affected” (retrieved from http://giaoducduhoc.nld.com.vn/). When it comes to leadership and management thinking among institutional administrators, innovation progresses slowly.

In an effort to support teacher training universities and colleges in the education program of the Flemish Association for Development Cooperation and Technical Assistance (hereinafter referred to as VVOB Vietnam), we have hereby developed the Guide to Innovative Leadership.

The Guide provides readers with the knowledge and skills necessary to develop their management and leadership competency within the Vietnamese education system. We expect readers, as a result of reading it, to:

- Change their perceptions of innovative leaders in an educational organization;
- Choose leadership styles appropriate for individual people and situations;
- Develop a performance coaching plan for employees in line with work requirements;
- Effectively manage task performance of employees and produce accurate assessments of the same;
- Develop feedback skills on task performance of employees to improve their performance.

The Guide can be used as a reference material during the management process, or a training material delivered in a two-day training session on innovative leadership. Since this is the first edition, the Guide will undoubtedly contain various errors, so we welcome constructive feedback from readers. Please forward comments to the following addresses:

Le Hoang Quan: peterquan05@gmail.com or
CHAPTER 1: LEADERSHIP AND LEADERSHIP STYLES

Contents

1.1 What is leadership?
1.2 Inspirational leadership
1.3 Qualities of the leader
1.4 Leadership styles
   1.4.1 Leadership styles X and Y
   1.4.2 Behavioral leadership styles
   1.4.3 Situational leadership styles
1.5 Some challenges in leadership at Vietnamese universities at the current stage

Chapter Summary
1.1. What is leadership?

Test
Are you a perfect leader?
General Douglas MacArthur (1880-1964) was an excellent military strategist in the United States of America and a manager with a far-reaching vision. He established a list of 16 questions to guide himself as a leader. These questions are still extremely useful for contemporary leaders.

Please respond to the 16 questions provided in Appendix 1 to see if you are a good leader.

Questions
You hold a leadership position in your institution. You have subordinates who work under you. You have multiple tasks and are responsible for directing a pool of staff to execute these tasks.

In 10 minutes, please answer the following questions:
Why did I become the leader of the institution/university?
What is leadership?
What should I do to accomplish my leadership role?

There are many different ways to define “lãnh đạo”. Literally speaking, “lãnh” means “to take” and “dao” means “the road”. So “lãnh dao” (leadership) means leading one’s subordinates on a road in order to reach some predefined target. Most attempts to define leadership refer to one or more characteristics of a leader or to an action that a leader takes, such as
providing a vision, getting things done through people, or challenging the status quo. (http://bensimonton.com/exactly-what-is-leadership.html). However, to introduce our concept of leadership, instead of focusing on how leaders lead, we must find out “what it is that followers follow” (Bennet Simonton, 2011). According to Simonton, the author of “Leading People to be Highly Motivated and Committed”, “leadership is the act of transmitting value standards to employees, which most then follow or use to perform their work”. And Patterson (1993), principal of many schools in Appleton, Wisconsin, notes that, “In the organization of tomorrow, leading is defined as the process of influencing others to achieve mutually agreed upon goals for the organization”. These two definitions offer similar views on leadership. First comes the act of transmission; then this is related to the values and goals of the organization.

In order to transmit values and generate influence, a leader needs emotional qualities such as belief and determination, personality qualities such as a sense of ethics, objective qualities such as knowledge and experience and skills such as communicativeness, problem-solving and coaching ability. Good leadership is not an inborn quality. Good leaders must constantly develop their self-study skills, teaching themselves from experience.

When you are offered a leadership position in an institution, this means you have power. But this power does not inherently show that you are a good leader. Power just allows you to become a boss (that is, a person who manages other people), but is by no means sufficient for you to become a real leader. Whether a leader is highly appreciated by his or her employees depends on how he or she acts to achieve the objectives of the organization and bring benefits to employees. Leaders who only think for themselves will not be very effective within their organizations because employees will only obey them, rather than supporting them wholeheartedly. Leaders should inspire and influence their employees so that they work together to realize the objectives of the organization.

**Leadership and power**
As mentioned earlier, power only allows the leader to become a boss. Effective leadership can exist without power. By the same token, power accompanied by inappropriate leadership will also fail (http://www.purposefulaction.com/). A real leader must have not only power but the ability to exercise it effectively – that is, to generate influence on his or her subordinates and make them want to realize the predetermined objectives.

Power can be construed as a person’s ability to influence other people’s behavior. Those who are most skilled at exercising power can make others do what they want without them feeling that they are being forced to do so.

*How to exercise power?*

A person can obtain power in one of the following four ways:

- **MECHANISM**
- **ETHICS**
- **KNOWLEDGE**
- **SKILLS**
Question
Of these four ways to obtain power, which do you have to practice the most?
1.2. Inspirational leadership

Think about the following 7 things to become an inspirational leader.

1. **Start from the leader:**

   You, as a leader, must first look at yourself and see if:
   
   - You are dedicated to the work and current position
   - You are devoted to the overall development of the institution
   - You are on the right track to achieving the overall goals of the institution

   To inspire staff, the leader must first have a passion for the job. For example, if a principal is always indifferent about his job, he will create a dispirited atmosphere for teachers and other staff, preventing them from working positively and even making them leave the school.

2. **Share the goal and mission of the institution with all staff members:**

   When a leader shares the goal and mission of the organization with all staff members, they will feel more attached to it, as they will feel that they are trusted enough to be considered part of it. They will feel proud and honored to be given an opportunity to contribute to the long-term development of the organization. For example, in a university,
when the rector shares the university vision with staff members, i.e. “We strive to become a professional university that trains and produces dedicated teachers who are devoted to the cause of education development,” then staff members will realize that they can play an important role in making this vision materialize (See Chapter 2 for more details).

3. Always encourage subordinates to raise comments and respect their comments: A leader should prompt staff to offer feedback on various aspects of the organization (in Leadership for Tomorrow's Schools, this is one of the five values of a real leader - openness to participation.) When obtaining comments from staff, the leader should first thank them and note that their contributions are highly valued. This show of appreciation should not be restricted to words, but should include in-depth reflection on those comments so that the feedback can be used to make the optimal decision. To encourage staff participation, the leader needs to create a comfortable atmosphere where ideas can be shared. In addition, a leader should also be willing to accept mistakes and be open to comments of all kinds. Accepting that “nobody is perfect” and “we are all humans, we can all make mistakes” is an important step towards becoming a real leader.

4. Give timely praise and criticism:

A leader should know how to give both praise and criticism to his or her staff in a timely and suitable manner. When you praise somebody, you should do so in front of other people. But you should not do so when you criticize, as this will make the person lose face. In cases where a subordinate both does a commendable job and makes a mistake, the leader should commend the person on their good work first before critiquing him or her. Take this situation, for example: a secretary is willing to work unpaid extra hours in the evening to get a report completed and submitted to the boss, while the other two secretaries still go home as usual when the official working time is over. The report is not completed until 9:00 pm and the secretary is both tired and hungry. However, when the report is handed to the boss the following morning, he shouts with anger: “Oh my God!
Why did you produce such terrible stuff?” Then the secretary feels very sad and thinks to herself: “If I had known this before, I would not have prepared the report. I would not have dedicated myself to it had I known I would receive criticism instead of praise!”

5. **Make employees feel proud to work for the organization:**

This is a very important principle in terms of inspiring employees. Employees are more often than not proud to work for a professional organization with lots of potential, or for one with meaningful values. The leader should highlight the key values of the organization and ensure that employees share them.

6. **Share experiences with subordinates:**

When a leader shares experiences with subordinates, they will feel more friendly and closer to the leader. Of course, the leader should maintain an appropriate distance between himself or herself and subordinates.
7. *Create challenges for your subordinates*

Creating challenges for your subordinates will make them constantly strive to overcome them. Of course, the leader should set appropriate challenges such that subordinates do not feel unnecessarily stressed or discouraged, or even choose to leave the organization. Setting challenges should go in parallel with an appropriate reward mechanism if you aim to encourage your subordinates to perform to their full potential.

The above are only suggested principles for inspiring subordinates. Leaders can add principles in line with the specific circumstances of the organization in order to inspire subordinates to stay with the organization for the long term. Inspiring subordinates also means creating motivation for them to stay and dedicate their whole heart and soul to the overall development of the educational institution.

---

**Question**

View the video clip about the inspirational coach:
What did you see the coach say before the training?
What did you see him do to challenge his players?

This coach is a very good leader. He set the goal, blindfolded his players and constantly called for his players to overcome their personal limits. In doing so, he got his players to channel the best of their abilities - which the players themselves did not believe that they could ever do!
1.3. **Qualities of the leader**

According to research on subordinates’ perceptions of their leaders, the two most important factors determining whether there is a good relationship between a leader and subordinates are *trust in the leader* and *confidence of employees themselves*. In order to obtain both trust and confidence from subordinates, the leader should communicate effectively so that they can understand:

- the vision and core values of the organization (*see Chapter 2 for more details*)
- the role that the leader plays in realizing the objectives of the organization
- the duty of subordinates in relation to the objectives and strategies of the organization

In short, the leader should be able to communicate the vision clearly to subordinates so that they know what the overall goal is as well as their relationship to it.

1.4. **Leadership styles**

Test

As concluded by researchers, below are the qualities that determine leadership ability:

- Attitude at work
- Working style
- Knowledge
- Talent
- Technical management
- Administrative management
- Attitude about other people
- Attitude about oneself

Please respond to 51 questions in Appendix 2 to assess your leadership qualities.
Many leaders rely too much on individualistic identity. This mentality can be summed up as “The way I manage my subordinates reflects my own character.” This is the wrong way to go about it!

Leaders should change their leadership styles to suit the organization, employees and working environment, always with the organization's goal in mind.

Leadership styles are usually determined by these two factors:

Subordinate staff: Depending on his or her subordinate staff, the leader must take on different leadership styles. A new subordinate will certainly require more stringent supervision than a more experienced colleague. A subordinate with a poor work ethic would require a different approach than one with a strong sense of responsibility. The leader must always know the needs, emotions and motivations of individual subordinates in order to apply the appropriate leadership style.

Situation: The leader should be able to figure out which leadership style is most appropriate for a specific situation. For example, when penalizing a staff member for bad behavior, a penalty that comes too late or too early - or is too serious or too trivial - will not work well.

In addition, there are other factors which might also influence leadership style, such as higher-level authorities, employee skills and the existence of unofficial leaders within the organization. These factors all have implications for the leadership style of an individual leader.

1.4.1 Theory X and Theory Y Leadership Styles

The X-Y Theory was proposed by Douglas McGregor, an American social psychologist. It presents two opposing sets of assumptions about human nature and management-
related behaviors. Theory X takes a negative view of human nature, suggesting that individuals often dislike work and assume no responsibility. Therefore, their performance must be closely monitored. Theory Y takes a more positive view of human nature, suggesting that people feel a sense of responsibility for their work and if left alone, will work with diligence and creativity. One would therefore expect that managers who agree with Theory X would exhibit markedly different managerial styles than those who agree with Theory Y.

**Comparison of Theory X and Theory Y**

<table>
<thead>
<tr>
<th>THEORY X</th>
<th>THEORY Y</th>
</tr>
</thead>
<tbody>
<tr>
<td>People have an inherent dislike for work and will avoid it if possible. Only the threat of punishment can force people to work towards organizational objectives.</td>
<td>People view work as being as natural as play and rest. They prefer working and do not seek to avoid it.</td>
</tr>
<tr>
<td>People must be controlled to work hard.</td>
<td>People enjoy working in teams. If left alone, they will be self-motivated and self-directed.</td>
</tr>
<tr>
<td>Theory X managers usually have negative or extreme manners. Whenever an issue occurs, the first thing they do is to “pass the buck”, that is, to shaft responsibility onto somebody else. They believe that employees only work for themselves and are only motivated by money. In all</td>
<td>People will stay with the team if they can achieve personal satisfaction by doing so.</td>
</tr>
<tr>
<td></td>
<td>People want to learn how to shoulder responsibility – and are able to.</td>
</tr>
<tr>
<td></td>
<td>People always have latent talents and it is merely a question of how to arouse them.</td>
</tr>
</tbody>
</table>

Do you apply task-oriented or people-oriented leadership? Please complete the test form provided in Annex 3.
situations, they assign responsibility to employees and overlook objective causes such as systemic errors, policies and lack of training.

Theory X managers do not trust anybody. They rely on firm discipline and close monitoring systems – the more machinery, the better.

There is no need to reward people if they work hard and punishment is not necessary when they do not work.

People do not like to be controlled. They work better without control.

This theory suggests that people always have the desire and the ability to inspire themselves and are capable of accepting bigger burdens and a sense of autonomy and accountability.

Theory Y managers suggest that if given opportunities, employees will be creative and productive in their work. If employees are given the right to freely express their abilities without being bound by overly rigid guidelines and rules, they will increase labor productivity substantially.

Theory Y managers also believe that if good work conditions are provided to employees, they will be equally creative and progressive. Therefore, these managers try to free employees from barriers that prevent them from expressing themselves.

Most people highly welcome Douglas McGregor’s Theory Y and expect managers to improve work conditions in this manner.

<table>
<thead>
<tr>
<th>Application of theory X and theory Y</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Theory X</strong> While this theory has obvious disadvantages in terms of how managers treat employees, many leaders still follow it. This is particularly true in the production sector – that is, in fields and factories. It is a classic theory that cannot be overlooked during practical training in human resources management. This theory also helps many managers look back at their own behavior and correct it.</td>
</tr>
<tr>
<td><strong>Theory Y</strong> Theory Y is also frequently applied, especially in companies that utilize highly-qualified laborers and mobilize a high amount of creativity, such as Apple, Microsoft and Google.</td>
</tr>
</tbody>
</table>
These companies try to create working environments that free employees to be as creative as possible.

This theory is also useful as a classic lesson in modern human resources management. A harmonious combination of Theory X and Theory Y will create a highly efficient workplace.
The combination of Theory X and Theory Y through Blake and Mouton’s Managerial Grid

In the early 1960s, Robert Blake and Jane Mouton at the University of Texas conducted research on managerial aspects and concluded that the two factors determining
successful leadership are concern for people and concern for production. They used a grid to identify five leadership styles:

1,1 **Impoverished Management (1, 1)**: 1 for work and 1 for people
These managers don't pay much attention to people or products. They make very little effort to get work done or encourage the team to work better.

9,1 **Authoritarian Management (9, 1)**: – 9 for work, 1 for people
These managers pay a lot of attention to getting work done but care very little for the needs and welfare of their employees. For them, work is of paramount importance.

5,5 **Easy-Going Management (5, 5)** – 5 for work, 5 for people
These managers pay attention to both the satisfaction of employees and the completion of work. They want tasks to be completed, but not in such a way that employees must suffer.

1,9 **Country Club Management (1,9)** – 1 for work, 9 for people
These managers are primarily interested in the satisfaction of employees and maintaining good relationships within the team. They seek to create a friendly, open atmosphere.

9,9 **Team Management (9,9)** – 9 for work, 9 for people
These managers work with members of the team to make decisions. Everyone on the team is encouraged to participate in the decision-making process. This leadership style is similar to the democratic leadership style. Team leaders are open-minded people whose leadership styles range from coaching to delegation.

1.4.2 Behavioral leadership styles

There are three major styles of behavioral leadership: Authoritarian (autocratic), Participative (Democratic) and Delegative (Free Reign).

Authoritarian (autocratic): These are negative leaders who want to exert threats and punish their employees to force them to work. While it works in some cases, this leadership style produces low-quality work that in most cases gives rise to dissatisfaction and fatigue among employees and will quickly make them react by slowing down or requesting a job transfer. This leadership approach can also be called hands-on leadership.

Participative (Democratic) and Delegative (Free Reign)

- Participative (democratic):
  Participative or democratic leadership means calling for support, comments or proposals from subordinates and encouraging them by means of incentives to solve problems. This leadership style makes the whole team work effectively even in the absence of a leader for a long period of time, as employees are already familiar with the obstacles they might encounter and are equipped with knowledge of their objectives as well as the process required to fulfill their goals. So even in the absence...
of a leader, they continue working and can even work more quickly. This leadership approach can be termed *consultative leadership*.

- **Delegative (free reign)**

  This leadership style might work very well when the working team has a high skill level and strong motivation to work, or when the task is complex or unstructured. However, in cases where there are many standards within the organization that need to be strictly adhered to, this would not be the most appropriate leadership style. This leadership approach can be termed *Trustworthy leadership*.

1.4.3 **Situational leadership styles**

Situational leadership styles are largely flexible and require the leader to determine the correct leadership style given the people and situation

- For the same person, the leader may use three or four different leadership styles (S1, S2, S3 or S4)

Situational leadership styles may change depending on the competence and attitudes of subordinates as recognized by the leader.

For example, Teacher Hung is assigned 3 tasks to complete:

1. Understand the needs of teachers and students with regards to building a stadium in the schoolyard

2. Start a club to create a green, clean and beautiful environment Train teachers on scaling up the corner work-based learning method

Test

*Which situational leadership style do you apply in specific situations? Please look at the situations provided in Appendix 5 and apply the appropriate leadership styles.*
After a short period of time tracking the teacher's progress, the leader recognizes the following:

Task 1: Hung works very reluctantly, with very little information. He has only general data. In addition, Hung does not know how to design an information collection tool so his procedure is very arbitrary.

Task 2: Because he participated in Union and Party activities in the past, Hung was completely dedicated to this task. He successfully mobilized many people to join the club and devised preliminary criteria for the green, clean and beautiful environment.

Task 3: This task is far too new for Hung. Although he spent time and efforts trying to understand the substance, the results are yet to be satisfactory. This is because he does not have much experience delivering training sessions on teaching methods.

Given these three situations, which all apply to the same person (i.e. Teacher Hung), the leader should have three corresponding leadership styles:

Task 1 falls within S1 (Situation 1): The leader should strictly remind Hung to take the task more seriously and provide him with specific guidance on how to collect data.

Task 2 falls within S4: The leader should give Hung full discretion to accomplish his assigned task, as he has a good sense of how to carry out the task and is able to accomplish it.

Task 3 falls within S2: The leader highly appreciates the teacher's enthusiasm. However, close supervision is required to ensure that Hung completes the task.
Situational Leadership Model

- **Shares ideas and facilitates decision-making**
- **Explains decisions and clarify tasks, yet still provides guidance.**

<table>
<thead>
<tr>
<th>Task (Directive Behavior)</th>
<th>High</th>
<th>Moderate</th>
<th>Low</th>
</tr>
</thead>
<tbody>
<tr>
<td>Able &amp; Willing &amp; Confident</td>
<td>Able but Unwilling or Unsure</td>
<td>Unable but Willing or Confident</td>
<td>Unable &amp; Unwilling, or Unsure</td>
</tr>
</tbody>
</table>

- **Turns over responsibility for decisions**
- **Shares ideas and facilitates decision-making**
- **Explains decisions and clarify tasks, yet still provides guidance.**
- **Provides specific instructions and monitors performance.**

- **High Task, High Relationship**
- **Low Task, Low Relationship**
- **High Task, Low Relationship**
- **Low Task, High Relationship**
1.5. **Current leadership challenges at Vietnamese universities**

At the time of writing this guide, Professor Gerald W. Fry wrote in an opinion column in *The Nation* (Thailand's national English-language daily newspaper): [Department of Organizational Leadership, Policy, and Development, University of Minnesota (USA) in the last paragraph on Opinion Column of The Nation (an official English-language daily newspaper of Thailand) on the issue dated March 19th 2012 THIS SHOULD BE IN A FOOTNOTE, NOT IN BODY TEXT]

Despite these successes, Vietnam has serious educational problems, namely quality issues across all levels of the system, an inefficient management system, inadequate autonomy for many universities, and university teachers needing to moonlight because of poor salaries (adversely affecting their research productivity).

The main challenges currently facing leaders at Vietnamese universities can be summarized as follows:

1. **Lack of autonomy**: Universities have yet to be autonomous in making decisions related to their operations, from physical investments to expanding faculties and disciplines, determining tuition fees, developing a high-quality lecturing staff and raising wages. This lack of autonomy can be attributed to the following: universities must comply with the directions of various management levels such as provincial people’s committees and the Ministry of Education and Training. In addition, in some universities, leadership is restricted to the management role in traditional style, so leaders lack full autonomy.

2. **Sizable research works yet to be produced**: because of this lack of autonomy, leadership in publicly owned universities is *essentially management*. Leaders are focused on maintaining a stable structure in line with regulations and duties, rather than encouraging creativity and development. These university leaders have not yet laid down the orientation, vision or identity for their respective universities. Likewise, university staff have not yet produced national-level
research or any original ideas, making it hard for them to catch up with society’s demands. Universities have not yet spearheaded any changes in society. They have simply tried to adapt to broad changes that have already occurred. At the workshop on “Conduct of radical and comprehensive renovation of higher education” organized by Vietnam National University - Ho Chi Minh City (VNU-HCM) on April 13th 2012, Assoc. Prof. Dr Nguyen Minh Hoa, Ho Chi Minh City University of Social Sciences and Humanities, suggested providing favorable conditions for universities to get involved in income-generating activities. He quoted the following: “Chulalongkorn University is the leading university in Thailand; apart from state budget, they also have three hotels, two supermarkets, two hospitals, 2 office buildings for lease… It is due to this strong source of funding that they can take the initiative to conduct a great many science research activities at international level”.

3. No link between training and practical social needs: Vietnamese universities perform more poorly than those in other Southeast Asian countries. Many graduates stay unemployed, or find only jobs that don't suit their qualifications. (According to the Ministry of Labor – Invalids and Social Affairs, around 60 per cent of graduates work in jobs that don't match their specialization. Moreover, out of 98 universities across the country, only 20 have graduates with jobs that rely on their training and specializations). There are many occupations in society that do not require university degrees, but many bachelors’ degree recipients can be found working in these occupations simply because they lack any other options. As such, universities should establish close links with social organizations, viewing themselves as service providers, with students being the products and social organizations being the clients. Universities also need to raise the teaching quality of lecturers and change curricula based on the proportion of graduates who can find suitable jobs, instead of on the proportion of graduates with outstanding qualifications on paper.
4. **Inability to develop a quality teaching force**: Most lecturers in universities are graduates with outstanding or excellent qualifications who are invited to stay on as lecturers. Because they do not have practical teaching experience, their teaching is restricted to the theoretical.

Except for some senior lecturers with great love for their professions, a vast majority of young and dynamic lecturers go on to choose a more lucrative path. In addition, universities usually claim that they cannot attract good lecturers from external sources because regulations do not allow them to offer high incentives. This viewpoint might not be necessarily true. There are many experienced people who currently hold senior positions in external social organizations and are ready to share their knowledge and practical experiences with students.

5. **Lack of competition between universities**: Most higher education systems in advanced countries currently operate competitively, attracting new students to enroll based on the success level of previous graduates. In Vietnam, however, universities have yet to see social organizations as their clients and graduates as finished products. In accordance with local regulations and policies, most public universities stick to an outdated method of favoritism instead of striving to increase their own competitiveness. Universities lack tools to promote their image to parents and students. Additionally, some universities in provinces cannot attract outstanding students because they are more likely to join major universities in urban cities. Only “type 2” students choose to enroll in local universities.

6. **Students' lack of love for occupations and a sense of professional ethics**: Because they fail to create their own identities, universities are simply a place to equip students with the tools to earn a living. So students are willing to quit jobs and find better ones if they are offered higher incentives. Many people choose to use cunning for their personal benefit. Making students proud of the university and of their disciplines would create a sea of successful graduates who would
enter wider society attributing their achievements to their universities. This would help formulate a unique identity for each university.
Summary of Chapter 1:

_In this Chapter…_

*A leader is someone able to accomplish his or her personal tasks and goals as well as those of the organization through leading other people.*

Good leaders are not born, but made. In order to become a successful leader, you need to constantly study and accumulate experiences.

Good leaders will use their sharp intelligence in order to adapt their leadership style to the organizational environment, people and situation.

The various concepts of leadership styles (such as Theory X, Theory Y and behavioral and situational leadership styles) should be applied flexibly depending on both subordinate qualities and circumstances. Leaders should apply appropriate leadership styles in order to help the organization fulfill its predetermined goals.
Basic principles of leadership:

Below are 11 principles of leadership which you should memorize:

Know yourself and constantly seek to improve
Be technically and tactically proficient
Seek responsibility and take responsibility for your actions
Make sound and timely decisions
Set an example
Know your subordinates and look out for their well-being
Keep your subordinates informed
Develop a sense of responsibility in your subordinates
Ensure that each task is understood, supervised and accomplished
Build the team
Consider your team members' capabilities when assigning tasks

The most important words used by leaders include:

The six most important words: “I admit I made a mistake.”

The five most important words: “You did a good job.”

The four most important words: “What is your opinion?”

The three most important words: “If you please.”

The two most important words: “Thank you.”
Review question

The skills and qualities of a good leader can be divided into the following 4 groups:

- People skills
- Good personality traits
- Management skills
- Achievements

Practice exercise: Identify the skills and qualities required of a leader according to the four groups mentioned above by placing check marks in the appropriate column. Then reflect on which skills or qualities you can improve in yourself (note: each quality could fall into many groups) *(See Appendix 6 for more details)*

Application plan in chapter 1:
Select 3 qualities of leadership (see Appendix 2) that you will study after reading this material. List the key behaviors you will perform *(see Appendix 7)*.
CHAPTER 2: VISION, MISSION AND CORE VALUES

Contents:

2.1 Vision
   2.1.1 What is a vision?
   2.1.2 Creating a vision statement
   2.1.3 Communicating a vision

2.2 Mission

2.3 Core values

Chapter Summary
2.1 Vision

2.1.1 What is a vision?

**Situation 1:**
Have you ever ridden your bike away from home without knowing where you were?

**Situation 2:** Have you ever been in a situation where you were leading a group of people and they asked “Where are you leading us?” but you did not know the answer?

In these two situations above, what have you not considered?

There are many different concepts of “vision.”

- It’s a shared look at the future, and it is a future filled with hope and promise. (CompoundThinking)

- The vision statement communicates both the purpose and values of the organization. For employees, it gives direction about how they are expected to behave and inspires them to give their best. (MindTools)

- Because it operates on many levels, vision is difficult to define simply [...] A vision is an idea of the future; it is an image, a strongly felt wish. (Findarticle).

In the two situations mentioned above, “vision” can simply be understood as the destination which a person or group of people want to reach. In a broader sense, vision is a statement about the scenario that the organization wants to realize in going forward; that is, it is an action orientation for the organization in the future.

As the saying goes, “When there is no vision, people perish”. If an organization has no vision, its employees will not have enough trust to follow the leader toward the end of the road. Usually, vision can be summarized as a statement made by the organization to all staff members and to external organizations. Vision statements may be different in terms of length, but all visions must include the desired destination for the organization.
Vision is not a road without a visible destination … it is a road with a known destination

Following are some examples of the visions set out by international organizations:

- *To make a contribution to the world by making tools for the mind that advance humankind.* (Apple)
- *KFC's vision is to be “America's Leading Kitchen for Convenient Meals” and to feed every family a great-tasting meal at least once a week.* (KFC)
- *La Trobe University will transform the lives of students and communities through learning and knowledge creation. We will be nationally and internationally acclaimed in socially responsible teaching and research.* (La Trobe University – Australia)

Following are some examples of the visions set out by Vietnamese organizations:

*FPT University provides an innovative and creative training environment during this era of knowledge to help learners achieve maturity in personality and capability, to overcome challenges, to succeed, contributing to the prosperity of the country and speeding up the knowledge era.* (FPT University)

*To become the leading Vietnamese brand offering trustworthy, nutritious, healthy products to improve lives.* (Vinamilk) *To become a leading science hub in the areas of*
research and postgraduate training in educational science and consulting services, contributing to the radical and comprehensive renovation of Vietnamese education. (Vietnam Institute of Educational Sciences)

2.1. 2. Create a vision statement

Step 1: Choose the final destination

In terms of format, a good vision statement should cover the following characteristics:

- It must be able to answer the WHERE question (where will your organization be in the future?)
- Idealize and generate a scenario. Replace boring data and information with a realistic but exciting idea

In terms of content, a good vision statement (for a university) should be focused on the following parameters:

- Community, society
- Students
- Lecturers
- Other relevant aspects (i.e. technology, quality, methodology)
- Physical infrastructure and equipment
- Organizational structure

The style should be cheerful and lively in order to stimulate readers' emotions (avoid overstating, which will bring about the opposite effect)

Invite readers to visualize the different developmental capacities of the organization

Vision is a picture that you and your organization draw in order to convince people to trust in the developmental capacity of the organization
anization do you want to become? This should not be an impractical dream; rather, you should be able to realize it given the available resources and conditions.

**Step 2: Choose the timeframe**

While there is no exact answer to the question of when your organization will reach that destination, the timeframe for the vision should go beyond the current period but not stretch too far into the horizon. Most organizations choose a timeframe between two and ten years, with five years being the most popular.

**Step 3: Consult the governing board**

In this step, the leader works with the governing board to:

- Map out the existing assets/resources (i.e. human resources, infrastructure, equipment…)

- Review the feasibility of the vision by forecasting changes in the legal environment and labor market, competitors, society, suppliers, partners, sources of financing, tax regime, etc.

- Review the feasibility of the vision by comparing it to what has already been achieved.

**Step 4: Communicate the vision**

In this step, the leader shares the created vision with employees. The leader should show his or her subordinates the final destination along the road so as to instill in them self-confidence and trust.

Vision-sharing exercises can be done through meetings or regular briefings with subordinates. They should focus on the work they are doing and the contributions they are making towards making the vision materialize.
Practice exercise: Create a vision statement

How do you create the vision for your university? Here are our suggested steps:

**Step 1: Answer the following questions (either on paper or on the computer)**

What do you want other people to know about your university? (e.g. education quality, student services…)

Where will your university be “positioned” in society, in the local **community** and in Vietnam?

What resources will your university use (technology, human resources, capital, partnerships) to reach this position? How do you intend to **connect** with students, lecturers and other staff in the future?

Who are your potential clients (students)?

**Step 2: Plug the appropriate answers into the space provided in the following sentence.**

*In the forthcoming ________, we will develop_______ as a ________ university in (___province/Vietnam/overseas country) with _______ (value) by providing _______ to ___________

3. Rewrite the above vision using your own words and see if this vision satisfies the conditions that make it a good vision statement (in terms of both format and content).

Now you can share your vision with your subordinates! Spend one week thinking about their comments and try to incorporate them into your vision statement.

The envisioning process is also similar to the Think-Pair-Share process, which requires interaction, collaboration and sharing between yourself, the governing board and your subordinates such that the vision becomes not only yours but also a collective one.
2.1.3. Communicating the vision

A leader’s vision isn’t worth much if it doesn’t take hold in the organization. A vision has to be shared in order to do what it is meant to do: both inspire and clarify the organization's focus.

“Part of your job as a leader is to generate commitment to your organization’s vision. To do this, you have to communicate the vision in a way that matters to people,” says Talula Cartwright, co-author of Communicating Your Vision. “Communicating a vision is like making a sales pitch. You want people in the organization to believe the vision and to pass it on to others.”

Leaders need to get the word out about the organization’s vision in multiple ways. Here are seven tactics to consider:

1. Stories and anecdotes about the organization’s history. Does your university have any story or anecdote about a role model with respect to hard work, perseverance or sacrifice? If so, you should tell a story about that person. When you tell a good story, you give life to a vision. Telling stories creates trust, captures hearts and minds and serves as a reminder of the vision. Plus, people find it easier to repeat a story than talk about a vision statement.

2. Speeches or presentations in workshops or conferences. Be prepared to reinforce the vision in line at the cafeteria, when you visit the customer service department and even walking through the parking lot at the end of the day. Every leader needs to be able to communicate the vision in a clear, brief way.

3. Use multiple media. Use different forms of media such as diagrams, reports, data, images, etc. Leaders can use both the newest communication technologies such as computers and simple tools such as coffee mugs, handshakes and greetings - anything else that will keep the message in the minds of employees, stakeholders and customers.
4. **Talk one-on-one.** Individualize the vision by engaging others in one-on-one conversations. Personal connections give leaders opportunities to transmit information, receive feedback, build support and create energy around the vision.

5. **Draw a crowd.** Identify key players, communicators, stakeholders and supporters throughout the organization who will motivate others to reflect on and engage with the vision.

6. **Go outside.** Communicate the vision to customers, partners and vendors with advertising and public relations campaigns, catalogs, announcements and other statements.

7. **Create symbols.** Use images such as logos, songs, colors and traditional rooms to stir up everyone’s pride in the common goal.

Of **the** seven ways to communicate the vision to subordinates mentioned above, which one will you, as a leader, choose? How will you go about it? Please complete Appendix 8 at the end of this Guide.
3. Mission

Vision and mission are usually understood as the same thing. In fact, they are very different. If vision answers the ‘why’ and ‘where’ question, then the mission statement takes on the ‘how’ question (that is, how will your organization reach the goal laid out in the vision).

A mission is a statement that “convincingly explains why that organization exists” (Komives, Lucas & McMahon, 1998). Essentially, the mission statement should answer these questions: What will we do? How will we do it? For whom will we do it? By answering these questions, the mission statement articulates the nature of the organization, helping different stakeholders understand how their needs will be addressed. Within the context of a university, the mission statement is not merely geared toward lecturers and students but rather toward external stakeholders on whom the university depends, including parents, enterprises and the community.
Exercise:

Identify the mission of Asian University for Women in the following statements:

_The mission of Asian University for Women is borne from the need to bridge the existing gap in educational opportunities. In many developing countries, females are usually treated unequally and have very limited access to education compared to males. These inequalities increase significantly at higher levels of learning, where rural girls and women in underprivileged areas are particularly disadvantaged. Nevertheless, women have a strong influence on family life and on their children; they help create a culture of justice and progress for the whole community._

_While progress has been made in terms of primary and lower secondary education for girls, it should be noted that higher education can bring about the most profound changes for the country. Those who succeed in higher education can go on to become leaders. Asian University for Women was established with a vision to train women and empower them to take on leadership roles so that they can have long-term influence on the surrounding community, country and region._

_Alsian University for Women - given its mission, training programs and long-term objectives - is focused on becoming a catalyst for positive change in the developing world. AUW seeks to develop as a truly regional university: a model that centers on excellence and follows the best practices in teaching and management. AUW, with its international magnitude and scope, will serve as a beacon for those who aim to improve educational opportunities for women, for the purpose of promoting regional cooperation and encouraging mutual understanding among nations both within Asia and beyond. AUW will be a role model for a specialized university, in part due to its innovative training programs and governance mechanisms, in part due to its consistent commitment to ensuring that talent can develop to its full potential without being constrained by socio-economic circumstances and to providing financial support for all girls who need it.”_
The mission statements of Asian University for Women have provided answers to the following questions:

- **What will we do?:** “Develop AUW as a truly regional university: a model which centers on excellence and captures the best practices in teaching and management standards.”

- **How to do it:** “innovative training programs and governance mechanisms...consistent commitment to ensuring that talent can develop to its full potential without being constrained by socio-economic circumstances and... providing financial support for all girls who need it.”

- **For whom:** women

The mission statement is a **building block** for an organization’s vision. A good mission statement is a key motivator for employees when it comes to communicating the goals and values of the organization to clients and the community.

To create a mission statement, the senior leader should first take into consideration the organization’s vision and core values and share them with subordinates in order to create consensus within the organization. To create a good mission statement, leaders must understand the rival universities, the strengths and weaknesses of the staffing structure, the goals to be achieved and the limitations, factors and key assumptions that have implications for the normal operations of the university.

A mission statement - together with the core values and vision of an organization - will reflect all the requirements to which all staff members must adhere to achieve the best possible results.

*In advanced countries, the mission statement of a higher education institution usually focuses on the following:*

- **Place the learner in a central position:** This means valuing each individual student, treating them as a valuable client and considering the product that the university
supplies to them and to the community. This also means creating the best possible conditions for students to achieve their full potential through classes, research and recreational activities. In addition, the curriculum and teaching methods are centered around the needs of the student.

- **Develop a diversified lecturing staff:** This means valuing their knowledge and experience. The university should also offer appropriate incentives and create a competitive environment that will attract highly qualified lecturers and encourage them to develop their personal capacities.

- **Attach importance to helping the local community:** Regular programs for exchange and interaction with the local community are organized to find out their aspirations and needs, which are then reflected in training programs.

- **Encourage the idea of renovation:** The university accepts the risks that may occur in management work and development of research and training. To make meaningful contributions to society, the university must create an environment where daring thoughts are acceptable and individuals can work without worrying about risk. At the same time, leaders and staff members should view their work as both challenging and enjoyable.
3. **Core values**

Core values are not strategies, but principles – either for an individual or an organization. They must be adhered to in all situations, even when doing so will bring about negative results. Core values for an organization are essential and sustainable principles - a collection of guiding rules that have profound implications on how people within the organization think and act. Core values of an organization are similar to those of an individual in that in their absence, the organization or person will not be itself, himself or herself anymore.

Core values are usually stated in the form of adjectives. Here are some examples of core values stated by universities:

**Core values of La Trobe University (Australia)**

- *Open* – to our communities, prospective students and new ideas
- *Transformative* – by making a positive difference to our students, staff and communities, and to knowledge and practice
- *Engaged* – in knowledge creation and public discourse in local, regional, national and international contexts
- **Accountable** – to each other and our communities, improving what we do and how we do it

- **Sustainable** – ensuring that by our individual and collective actions we extend the capabilities and choices of future generations

**Core values of Vietnam National University - Ho Chi Minh City (VNU-HCM):**

- Placing students at the heart of the teaching process to encourage comprehensive development.

- Education quality is always be a priority.

- Highly valuing independence, creativity and innovation in research.

- Focusing on international cooperation to promote development.

- Highly valuing professionalism and efficiency in management work

- Addressing the needs of the community
CHAPTER 3: PERFORMANCE COACHING

In this Chapter...

Three key concepts have been touched upon: **Vision, Mission and Core Values.**

Vision, Mission and Core Values are not empty slogans, not something written down to impress people! The leader must communicate these three concepts clearly and regularly to all staff members so that they know exactly for what purpose they are working and for whom they are sacrificing. The leader needs to use every possible moment to warm up their enthusiasm.

Vision, Mission and Core Values are **guidelines** that are attached to the organization for a long time. Each **action** of the organization **should be undertaken with** the following questions **in mind**:

- **Will it help the organization reach the defined vision?**
- **Is it in line with** the mission of the organization?
- **While carrying out the action, will** the organization respect and maintain **its** core values?

As a leader, **you need to use** the university’s vision statement to **articulate** what your university (i.e. leadership, staff members, students) **must** do, and what results you - as a team - will have to produce **for** the local community and wider society. On the way to the final destination, your organization needs to map out a clear and binding code of conduct through **articulating its** core values so that your voyage of perseverance will reach the final destination you have already identified.

Application plan in chapter 2:

Appendix 9 at the end of this Guide lists 5 vision statements of teacher training universities/colleges in the education program under the auspices of VVOB. Please select a vision and work with your colleagues to adjust it appropriately.
3.1. Performance coaching

3.2. Qualities of a performance coach

3.3. Making a plan for performance coaching

Chapter Summary
3.1. Performance coaching

Performance coaching is defined as the provision of direct guidance and support to employees so that they can achieve the desired outcome.

The need for performance coaching arises when there is a gap between the current situation and the desired situation or outcome.

Specifically, the following situations can often be improved by performance coaching:

- A new employee requires initial training or orientation
- A new skill needs to be taught
- New work standards are put in place
- Cultural norms of the organization need to be explained
- Work conditions need to be changed
- Staff require support to prioritize their work
- Staff perform at a low or average level
- Staff require further improvement
- Staff wish to become outstanding employees and deliver excellent results
- Staff need to prepare for meeting professional goals in the future
- Staff need to prepare for a more challenging task or a higher position
- Staff require training to develop their self-confidence
Performance coaching brings about benefits for all parties involved (staff, leaders, the university as a whole and external stakeholders).

*For the staff:*
- Increase performance outcomes
- Enhance knowledge and skills
- Increase income
- **Gain confidence**
- **Increase trust in the** organization

*For the leadership:*
- Save time to play the role required of a leader
- Create trust in lower level **staff**
- Get the opportunity to be promoted to a higher position

*For the university as a whole:*
- Enhance operating effectiveness
- Increase credentials, image and **brand**
- Build a foundation for fulfilling long-term objectives
- Stabilize human resources
- Reduce risk costs

*For external stakeholders* (i.e. management agencies, social community, students, parents, partners, clients…)
- Increase trust among them
- Better satisfy their demands

Nâng cao hiệu quả hoạt động cho các
3.2 Qualities of performance coach
To be a good performance coach, an individual must have certain qualities.

Reflection

In your opinion, in order to become a good coach, what qualities does a leader need to have?

Think about the coaching work of famous football coaches such as Sir Alex Ferguson (Manchester United) and Jose Mourinho (Real Madrid) before, during and after the match. Then list the key qualities of a good coach.

Most good coaches usually have the following qualities:

- Enthusiastic
- Supportive
- Trustworthy
- Knowledgeable
- Empathetic
- Patient
- Clear, honest

During the coaching process, the coach needs to:
• **Pay attention to staff:** Staying close to subordinates so as to understand their desires, aspirations, strengths and weaknesses is essential for performance coaching. The better the coach understands the subordinates, the easier it will be to provide support.

• **Berespectful and open:** During performance coaching, some subordinates may have more appropriate propositions than those that have been suggested by the coach. In this case, the leader must be open to these more appropriate viewpoints. **Listen and provide feedback:** Performance coaching should be seen as an interactive process between the leader and subordinates, instead of one-way communication. The leader should listen to the viewpoints expressed by subordinates and provide appropriate feedback.

• **Put in place an assessment system and relevant standards:** Performance coaching should be based on specific criteria and the expected results should be clearly identified. Without a clear assessment system, it is not possible to measure the progress made by subordinates.

• **Have a plan to develop subordinates:** When assigning tasks, the leader should identify the steps that subordinates should take in order to increase their capabilities.
3.4 Performance coaching process

Activity: Participate in the beer-pouring situation and answer the following question: Prior to performance coaching, what do the coach and coachee need to agree upon?

The first person fails in the task performance because he knows neither the criteria for accomplishing the task nor how to carry it out.

The second and third people may either succeed or fail. This is because although they may know the criteria for accomplishment, they do not receive any guidance on how to accomplish it. If they succeed, they may attribute their performance to good luck, so they will not be confident next time they are faced with the same task.

The last person will surely be successful in accomplishing the task and have a confident attitude even before performing the task.
Prior to performance coaching, the coach and coachee need to agree upon the following requirements:

- Contents of the task
- Objective of the task
- Criteria for accomplishing the task
- How to execute the task
- Necessary tools to be provided for accomplishing the task

These items will be discussed in Step 2 of the performance coaching process.

The performance coaching process is comprised of the following 4 steps:

- Step 1: Identify performance coaching needs
- Step 2: Make a plan for performance coaching
- Step 3: Do the performance coaching
- Step 4: Provide feedback

**Step 1: Identify performance coaching needs**

Performance coaching occurs when the coach sees that subordinates have needs. Sometimes these needs are not explicitly expressed, so the leader needs to use various means such as observation and collecting and analyzing data on employee performance to identify the coaching needs as well as coaching topics. Identifying needs can be done by assessing the extent to which employees satisfy the organization's objectives.

**Step 2: Make a plan for performance coaching**
In this step, the leader works with subordinates to identify:

- **Goal and requirements of the task**: These are the results expected to be achieved after completing the task. In formulating the objective of the task, the leader and subordinates need to answer the following questions, which can be referred to by the acronym SMART:
  
  o Is the objective specific enough? (Specific)
  
  o Is the objective measurable? (Measurable)
  
  o Is the objective achievable? (Achievable)
  
  o Is the objective realistic? (Realistic)
  
  o Can the objective be achieved within a time-bound period? (Time-bound)

- **Criteria for completing the task**: These are criteria and benchmarks to determine the extent to which employees complete the task. Performance criteria usually focus on quantity, quality, time and approach.

- **List of steps for performing the task**: This is a series of separate actions listed in order, based on which employees can complete the assigned task. This list can be seen as a handbook that offers guidance on how to complete a particular task. The

---

**Practice**

Let’s go back to the situation of teacher Hung (Chapter 1): Teacher Hung is tasked with delivering training on scaling up the corner work–based teaching method for teachers. Although he spent significant time and effort learning how to do it, the results have yet to be satisfactory. He needs coaching and mentoring. You are required to work with teacher Hung to identify objectives and criteria for completing the task assigned to him based on Appendix 11.
Step 3: Do the performance coaching

In a performance coaching session, the coach needs to create a comfortable environment for subordinates (Please consult the section “Qualities of a performance coach”). The leader and subordinates work together to discuss and analyze positive achievements as well as any constraints limiting task performance. Then the coach follows these steps in order: “Presentation – instruction – illustration.” In the presentation session, the coach presents specific objectives, expected outcomes and criteria for completing tasks, as well as the list of steps for doing so. The coach can demonstrate these instructions for subordinates and then ask them to repeat the demonstration. During the task performance, the coach needs to create favorable conditions to explain key points and allow coachees to practice and correct any errors. At regular intervals, the coach needs to check the performance of employees and gradually reduce the amount of control over time. (Please see Appendix 13: Performance Coaching Tracking Form).

Step 4: Provide feedback

After a period of performance coaching followed by practical application, employees/ coachees often look forward to receiving comments on the progress they have made. In this step, the coach is responsible for observing and analyzing the situation before and after performance coaching. In addition, the coach will discuss with subordinates their positive achievements and what still needs to be improved before producing the final assessment (See Chapter 5 for more details).
Summary of Chapter 3:

In this Chapter...

Performance coaching is one of the skills that a leader must have. It allows the leader to develop the capabilities of employees, which makes it more likely that the leader will accomplish his or her objective. The performance coach needs to recognize and identify the coaching needs of employees when there is a gap between the current situation and the desired scenario. Performance coaching will bring about benefits for employees, their leadership and management, the university as a whole and the surrounding community. To do good performance coaching, the coach needs to have certain qualities such as enthusiasm, supportiveness, trustworthiness, a wealth of knowledge, empathy, patience, clarity and honesty. In addition, the coach and subordinates will work together on four key steps: identifying performance coaching needs, making a plan for performance coaching, doing the performance coaching and providing.

Application exercise of Chapter 3:
Select a practical situation where your employees require coaching and then produce a coaching plan for them (please consult the plan template provided in Appendix 13).

Supplementary reading:
After delivering the above coaching plan, please assess your coaching ability by completing the self-assessment form provided in Appendix 15.
CHAPTER 4:
PERFORMANCE APPRAISAL

Contents

4.1 Performance appraisal: benefit and purpose
4.2 Developing a performance appraisal rating scale
4.3 Key performance indicators (KPI)
4.4 Advantages and disadvantages of a performance appraisal rating scale
4.5 Common mistakes in performance appraisal

Chapter Summary
4.1 Performance appraisal

**Reflection**

Let’s go back to the “beer-pouring” case. The first person, after pouring beer, might think that he has finished the task assigned to him. But the leader may believe that he has not finished the task. Can you explain why there exists such a difference in performance evaluation?

In the beer-pouring activity, the task performer and the leader view the performance results differently because both parties have not agreed upon the specific standards for performance appraisal. The “performance result” is the result that the leader expects his employees to bring about by performing a task, based on specific standards which both parties have agreed upon in advance.

- **Performance appraisal is necessary for the leader to do the following:**
  - Evaluate the performance and achievements of an individual or institution based on the assigned objectives and tasks
  - Determine strengths and weaknesses in task performance so that solutions can be suggested to individual employees and the entire institution
  - Review activities that the institution has already implemented for the purpose of future planning.

**Definition**

Performance appraisal is a way to manage performance effectively by assigning tasks to employees based on mutual agreement between the higher and lower levels in the
authority hierarchy. At the end of the appraisal period, both parties should be able to easily recognize the extent to which employees accomplished the assigned tasks on the basis of specific assessment criteria that were identified at the beginning of the period.

**Benefits of performance appraisal**

Performance appraisal aims to improve the operating effectiveness and efficiency of an organization by ensuring that all individuals within the organization bring into play the best of their capacity and potential for the purpose of promoting human resources development.

**Objectives of performance appraisal:**

- To help *determine the competency and accomplishments* of individual employees, in order to offer remuneration and incentives commensurate with the level of performance/accomplishment. When receiving performance-based remuneration, employees will feel that they were fairly treated by management and got what they deserved.

- To help *review the appropriateness of task assignment*, ensuring that stellar employees will be assigned more challenging tasks and less competent employees will be coached and mentored. Performance appraisal also helps the organization restructure the staffing pattern among departments within the organization. For example, based on performance appraisal, a leader could suggest restructuring the division of work to make sure that there is neither too much work nor too little for a particular department or unit.

- To help the organization locate *the deficiencies in competence and other qualities* among employees so that corrective measures can be taken.

- To help those involved in organizational and personnel planning *have an overall picture of human resources* within their own organization. They will know how many people at what level of competence will be needed in the future given a specific amount of work, and this will render the organization more effective. In a scenario where some staff members will retire in the near future, performance
appraisal can help determine which current subordinates will be able to replace them.

- *To show appreciation for the contributions of employees and create learning opportunities for them.* Every employee wants to know how their manager evaluates their performance. They want their contributions to be recognized and they yearn for opportunities for further learning that can improve their performance.

To render performance appraisal effective, the leadership and staff need to discuss and establish a performance appraisal sheet containing criteria and indicators for each category of task. Sections 4.2 and 4.3, which follow, will discuss how to develop performance appraisal criteria and indicators.
4.2 Develop the rating scale for performance appraisal

**Step 1: Identify criteria for performance appraisal**

Performance appraisal criteria are measurements for determining the extent to which the task is performed. The appraisal criteria are usually determined on the basis of both the job description and the expected outcome. Performance appraisal criteria are also usually based on quantity of work, quality of work, time it takes to complete the work and the approach taken.

- **Quantity**: How much of the task has been completed? (expressed in terms of a percentage)
- **Quality**: What is the quality of the work? (also expressed by a percentage)
- **Time of delivery**: Was the task completed on time? Ahead of schedule? Behind schedule? If behind, by how many days/weeks/months…
- **Delivery approach**: How did employees deliver the final results? (What procedure did they follow? What human and financial resources were involved?)

**Step 2: Develop the extent of task accomplishment**

After the performance appraisal criteria have been established, the next step is to identify the extent of task accomplishment. Usually, the following 5-point scale is used:

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Accomplished</td>
<td>Improvement Required</td>
<td>Accomplished</td>
<td>Well done</td>
<td>Excellent</td>
</tr>
</tbody>
</table>

**Step 3: Develop descriptors for each corresponding level**
The descriptor for Level 5 (Excellent) is usually developed first, followed by levels 4-3-2-1. *(These descriptors are also referred to as Key Performance Indicators – please consult Section 4.3 for more details)*

<table>
<thead>
<tr>
<th>Appraisal criteria</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Example 1: In the beer-pouring situation, criteria for evaluating the performance of this task are as follows:

- **Quantity:** **Pour all the** beer from the bottle
- **Quality:** **Don't** let beer **land** outside the glass or **beer bubbles get** higher than 1cm from the surface
- **Time of delivery:** **Less than 30 seconds**
- **Delivery approach:** **One try**

<table>
<thead>
<tr>
<th>Criterion 1:</th>
<th>Teach less than 150 hours</th>
<th>Teach between 150 and 170 hours</th>
<th>Teach between 171 and 190 hours</th>
<th>Teach between 191 and 200 hours</th>
<th>Teach more than 200 hours</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>The number of teaching hours in the academic year</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Criterion 2:</th>
<th>Teach less than 150 hours</th>
<th>Teach between 150 and 170 hours</th>
<th>Teach between 171 and 190 hours</th>
<th>Teach between 191 and 200 hours</th>
<th>Teach more than 200 hours</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>The number of students achieving mean score in the subject</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Criterion 3 | | | | | | Commended and praised for a |
|--------------|---------------------------|---------------------------------|---------------------------------|---------------------------------|---------------------------|
Step 4: Communicate the performance appraisal criteria to employees

Usually employees are involved in developing the performance appraisal criteria. In case these criteria are built only by the leadership and other senior managers, then once completed, the criteria should be communicated to employees for their comments so that necessary adjustments can be made before application.

Step 5: Adjust and apply the criteria

After obtaining feedback from employees, the performance appraisal criteria should be finalized and put into use. On a regular basis (semester/academic year), a meeting should be convened to determine if these criteria remain appropriate or require further refinement.

4.3 Key Performance Indicator (KPI)

Definition:
Key Performance Indicators are key indicators used to measure the performance of employees against the standards regulated by the organization.

Currently, many organizations see KPIs as key to their success. These indicators help measure what progress has been made toward objectives set forth by the organization.

**Note:** KPIs must be measurable indicators that specifically refer to relevant levels on the rating scale in order for performance evaluation to be effective.

**Note:** During the process of developing the rating scale for performance evaluation, when it comes to selecting the characteristics for evaluation (evaluation criteria), the designer should always obey the principle that these characteristics are necessarily linked to the work performed by employees or those who are evaluated.

Usually, each organization has at least a few KPIs. To successfully deliver these KPIs, they assign smaller internal units small parts of the KPIs. Within those units, KPIs are similarly delegated to individual employees.

The direct leader develops KPIs for subordinates on the basis of objectives to be realized within a time period (usually one year), a project or specific assignment.

**Benefits of developing KPIs:**

KPIs help employees within the organization focus on the “big picture”. When employees have accomplished their tasks, their unit or division realizes its objective - and by accumulating these achievements, the organization realizes the overall goal. KPIs help distinguish what is important from what is trivial, allowing employees to draw priorities independently.
The process for KPI management in a professional organization

Step 1: Define the job description

Step 2: Identify criteria: develop the competency standards of the host organization to determine what level of competency is required for each position.

Step 3: Formulate KPIs for each level

Step 4: Explain them to employees and negotiate if needed

Step 5: Check and record performance outcomes

Step 6: Provide feedback – assign KPI for the following implementation period
4.4. Advantages and disadvantages of performance appraisal using the rating scale

**Advantages**

Performance appraisal using the rating scale offers the following advantages:
- *Clearly structured and standardized.* This allows ratings to be easily compared and contrasted - even for entire workforces.
- *Equality:* With this method, each employee is subjected to the same basic appraisal process and rating criteria, with the same range of responses.
- *Easy to use and understand.*: Both appraisers and appraisees have an intuitive appreciation for the simple and efficient logic of the bipolar scale.

**Disadvantages**

The risks of using the rating method to design appraisal indicators and throughout the appraisal process include:

*Poor design of appraisal indicators:* The designer seeks to incorporate all achievements into the appraisal sheet. However, this is very hard to achieve in reality, which means that sometimes the performance appraisal does not reflect the appraisee’s efforts or ultimate value to the organization.

*Mistakes based on subjective judgment:* When appraisers do not grasp the nature of the indicator, or do not understand the language used in the rating scale, they will produce different appraisals. For example, an employee who constantly reports the task's status to higher levels could be seen as good by one appraiser, while another appraiser might feel that this indicated that the employee was overly reliant on support from higher levels. Therefore, this employee could be appraised as either conscientious or lacking independence, depending on who the appraiser is.

- *Neutral appraisal:* When appraisers are busy or worried that those being appraised will take revenge if they are judged poorly, they tend to produce indifferent judgments - no matter how good or bad the appraisee's work actually is. Thus, the appraisal results end up at an average value, which does not reflect the actual results.
To avoid these issues, the leader needs to define the criteria and indicators in collaboration with subordinates/employees. To avoid neutrality in appraisal, the designer can produce a 4-point rating scale (instead of 5 levels).

### 4.4 Common errors in performance appraisal

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Halo effect</td>
<td>• Idolizing appraisee—feeling that there is no error or trivializing error</td>
</tr>
<tr>
<td></td>
<td>• Organization’s interference Following the organization’s suggestions</td>
</tr>
<tr>
<td></td>
<td>• Lack of objectivity</td>
</tr>
</tbody>
</table>
| Differences in perceptions, personal biases | • Due to subjectivity of the appraiser  
  • Only relying on one-way factor (either positive or negative in appraisal).  
  • Prejudices based on personal differences (i.e. age, place of birth…) |
<p>|                           | • Implications of an unexpected event—Not considering the effect of the event on appraisal                                                      |
|                           | • Tolerance/severity Using low criteria, which makes employees too satisfied. Being too severe and demanding, which leads to pessimism and depression among appraisees |
|                           | • Central tendency bias—Rating everyone in the middle                                                                                       |
|                           | • Failing to awaken poor employees to their mistakes                                                                                         |
|                           | • Failing to encourage outstanding employees and                                                                                           |</p>
<table>
<thead>
<tr>
<th>Complaisance</th>
<th>• Considering position during appraisal, so that higher-status employees (those in senior positions, those with a high educational level or simply those the appraiser feels attached to) receive more positive appraisals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inconsistency in appraisal standards</td>
<td>• Lacking consistency or uniformity between appraisal criteria and levels</td>
</tr>
<tr>
<td>Effects from previous appraisals</td>
<td>• Holding onto a good or poor impression of the employee from the previous appraisal.</td>
</tr>
<tr>
<td></td>
<td>• Not investigating changes that occurred between the two appraisals (either positive or negative)</td>
</tr>
<tr>
<td>Lack of commitment and guidance</td>
<td>• Not providing support or necessary resources Leaving employees to address their constraints themselves</td>
</tr>
<tr>
<td>Too much formality</td>
<td>• Only doing perfunctory appraisals</td>
</tr>
<tr>
<td></td>
<td>• Not encouraging better efforts</td>
</tr>
<tr>
<td>Comparisons with oneself</td>
<td>• Using oneself as a standard against which to compare other people.</td>
</tr>
</tbody>
</table>
In the Chapter…

Performance appraisal is the key to improving the performance of individual employees, which enhances the overall effectiveness and efficiency of the organization.

Performance appraisal is also an important activity in human resources management. It helps affirm the competence of employees so the organization can select and develop human resources, design an appropriate remuneration mechanism and make informed decisions on human resources management.

To render performance appraisal effective, the leader needs to work with subordinates to define the appraisal sheet. On this sheet, both parties identify appraisal criteria as well as key performance indicators for each corresponding rating level.

No single appraisal method is perfect. In the course of appraisal, other than practicing the methods for defining appraisal criteria and approaches, the appraiser should also pay attention to the human factor and watch out for subjective errors and mistakes in employee performance appraisal.

Application exercise of Chapter 4

Based on the professional standards for professional secondary teachers (Appendix 18), select the criteria that need to be met and then define KPIs for these criteria. You may consult the KPIs in Appendix 19 a, b and c.
CHAPTER 5: PERFORMANCE FEEDBACK

Contents

5.1 Introduction of performance feedback
5.2 Procedure for performance feedback
5.3 Constructive performance feedback strategies

Supplemental reading: 9 principles from How to Win Friends and Influence People about communication between the leader and subordinates

Chapter Summary
5.1 Introduction of performance feedback

Performance feedback is a follow-up activity to performance coaching (Chapter 3) and performance appraisal (Chapter 4). The main purpose of performance feedback is to help employees recognize what they have done well and not so well. The goal is to encourage them to bring into play their strengths and help them realize their weaknesses so that they can address them going forward.

Performance feedback can be provided through various means, such as email, telephone calls and written letters. Provision of feedback through direct communication between leader and subordinates is the most effective form, through which the leader can:

- Inform subordinates of their achievements within a defined period by written letters and direct communication
- Listen to subordinate’s opinions about their work Discuss their achievements as well as shortcomings in their performance
- Encourage them to find ways to improve and discuss them
- Assign new tasks

To effectively conduct a performance feedback session, apart from professionally related factors such as coaching ability, a leader needs to have communication skills - that is, the ability to both listen and raise questions to prompt subordinates. The way feedback is provided determines whether it is effective. If the leader recognizes the achievements made by employees, discusses their limitations and proposes corrective measures while also encouraging them, the feedback will improve effectiveness and efficiency. On the contrary, if the leader simply criticizes and gives out orders, then the feedback will not do anything.

There are many different ways to provide feedback. The method you choose as a leader has significant implications for employees and their performance.
<table>
<thead>
<tr>
<th>Method of giving feedback</th>
<th>Concept</th>
<th>Purpose</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>SILENT FEEDBACK</td>
<td>Say nothing</td>
<td>Keep the status quo</td>
<td>Reduce confidence and productivity Employees will be skeptical</td>
</tr>
<tr>
<td>CRITICAL FEEDBACK</td>
<td>Prevent negative behavior Employees will be apologetic Reduce confidence Lead to denial and repudiation Negatively impact relationships</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ADVICE-GIVING FEEDBACK</td>
<td>Orient or change behavior</td>
<td>Increase confidence Strengthen relationships Increase productivity</td>
<td></td>
</tr>
<tr>
<td>CONSTRUCTIVE FEEDBACK</td>
<td>Explain expected results and behaviors</td>
<td>Enhance performance</td>
<td>Enhance confidence Increase self-respect Increase productivity Generate motivation for work</td>
</tr>
</tbody>
</table>

**Test**

Are you a good feedback provider? Complete the test in Appendix 20.
Of the feedback delivery methods above, constructive feedback is the most effective method, as it develops the relationship between the person who provides feedback and the one who receives it. Critical feedback is the least effective method, as it negatively impacts the self-respect of the feedback recipient. In addition, it is important to consider using silent feedback (as they say, sometimes silence is golden!).

5.2. Procedure of the performance feedback session

Stage 1: Prior to the performance feedback session
Prior to the performance feedback session, the leader needs to follow the following steps:

One or two weeks prior to the feedback session, the feedback provider sends the performance report for the previous assignment to the recipient. The purpose of sending this report is to prepare both parties emotionally and attitudinally for the upcoming feedback session, prepare necessary comments and come up with an appropriate plan of action. In addition, the feedback provider must plan the feedback session. This means preparing feedback for the employee in question and describing his or her task, as well as the performance report from the previous appraisal (to identify the extent to which the requirements have been met and the expectations have been satisfied).

In addition, the feedback provider needs to prepare the following documentation:
- Institutional policy for employee performance appraisal
- Guides for managers and employees
- Plan for task assignment or performance coaching going forward
- Templates to be used for:
  - Setting out objectives
  - Tracking, recording and reviewing implementation of objectives

\[
\begin{array}{c}
\text{Observe performance} \\
\rightarrow \\
\text{Collect full and complete information on behaviors and results} \\
\rightarrow \\
\text{Compare with the criteria for task completion} \\
\rightarrow \\
\text{Identify achievements and shortcomings for improvement} \\
\rightarrow \\
\text{Prepare feedback on performance}
\end{array}
\]
Stage 2: During the performance feedback session
In the feedback session, the following activities are carried out:

- **Open the session and declare session objectives:**
  - Greet everyone and create a comfortable and positive atmosphere
  - Present the goal of this reflection session clearly
  - Present the expectations from the session as well as the expected benefits
  - Describe the process of the feedback session
  - Recognize and commend achievements

- **Give performance feedback**
  - Clearly present the performance objectives and standards that have been agreed upon as well as the actual observations so that employees can compare them
  - Raise open-ended questions for employees to appraise/evaluate their own performance
  - Listen effectively
  - Provide performance feedback
  - Be open and flexible to changing your opinion based on new data presented by employees (if appropriate)
  - Agree on requirements for accomplishing tasks
  - Emphasize priority areas for improvement
  - Present the benefits of task accomplishment to employees and to the whole institution

- **Negotiate the plan for task accomplishment**
  - Raise questions to prompt employees to come up with actions and a timeline for task accomplishment
  - Agree on those actions and timeline
  - Agree on how much support will be provided by the management level
  - Agree on monitoring and evaluation activities
- **Finish the feedback session**
  - Thank all employees for a good reflection session
  - Make employees feel confident in their own success
  - Commit support from the management level
  - Ask employees for their feelings about the reflection session
  - Wrap up the session and wish the best of success to employees
  - Make the monitoring and evaluation schedule as agreed upon

**Stage 3: After the feedback session**

At the end of the reflection session, the feedback provider finalizes the performance report and sends it to employees. Employees will get the opportunity to read it and provide feedback before handing it back to the leader. In case there is an argument or there are opposing views, the respective employee can request to speak to the direct manager of the feedback provider. The original version of the feedback report should be submitted to the institution's Organization and Personnel Department. The feedback provider and recipient keep duplicated copies. Note that the feedback report should be kept confidential.
Note:

**When providing feedback**, the leader should create a comfortable atmosphere and encourage employees to present **both** successes and hurdles in an open manner. Feedback provided by the leader should be as specific, clear and accurate as possible. In addition, the leader should spend time listening and raising open-ended questions to help employees analyze strengths and areas for improvement and then propose appropriate **strategies**. After giving feedback, the leader should work with employees to identify new objectives based on their proposals. In setting the objectives, both parties need to define an implementation and monitoring plan and map out the existing and required resources for employees to accomplish the assigned tasks. These resources can take **the** form of training courses, support from peers and managers or physical infrastructure. The leader should also encourage employees to **voice** their wishes for personal development through questions **like** “What do you think about your future?” **and** “What changes do you want in your current work?” Towards the end of the feedback session, the leader needs to write the report and share it with employees.
5.3.1 Constructive feedback strategies

One of the feedback-giving strategies is the sandwich style, which has both old and new versions, as follows:

**Old feedback sandwich**
Begin with positive statements (i.e. highly appreciate, commend, praise, agree with), followed by comments on what needs to be changed; *end by going back to* positive statements

**(Updated from Hoang, Le Huy (2011))**

**New feedback sandwich**
Begin with questions that prompt the feedback recipient to evaluate their performance compared with the predefined objectives. *Then comment* on both achievements and failures (it is possible to apply the “old feedback sandwich” here). Finally, *raise* questions that prompt the other person to fine-tune *his or her* performance.

As a feedback provider, use the following phrases:

- *I am very interested in*...
- *I note your comment*...
- *Your comment is very interesting*...
- *I understand your thought*...
- *I have often thought like you*...
- *If I were in your position, I would have the same thought*...

Then continue to present feedback in the following way:

- Discuss the performance of the feedback recipient
- Give situational examples to prove your point
- Suggest actions that the feedback recipient can take to improve
The feedback provider can use different strategies in different situations:

**When informing employees that they have done something right**
- Use descriptive words to describe specifically what about the behavior is deemed right
- Tell employees how their behavior has a positive impact on peers and the entire institution

**When telling employees how you feel about their behavior**
- Specify your feelings
- Tell them how you are pleased when they do something right

**When praising employees**
- Pause for a while so that employees can feel the praise with their hearts. The silence allows them to feel your honesty.
- Voice your appreciation for correct behavior.

**Summary of Chapter 5:**

**Practice exercise 1:**
Read the feedback in Appendix 22 and determine which one is appropriate and why.

**Practice exercise 2:**
Chapter 1 introduced a situation where teacher Hung was tasked with investigating the demands of teachers and students when it came to building a school stadium. Hung worked very reluctantly, with very little information and no in-depth data. He did not know how to design an information collection tool, so his procedure was very arbitrary. In the performance feedback session, Hung claimed that he tried his best and showed displeasure at the performance report. You have been asked to give constructive feedback to the teacher. Use all the skills that you consider appropriate!

After completing this task, you can consult the feedback provided in Appendix 23.
Application exercise for Chapter 5:
Read the situations provided in Appendix 24 and finish the exercise.

Supplementary Reading Nine principles from *How to Win Friends and Influence People* about the art of communication between the leader and subordinates

This book by Dale Carnegie is widely viewed as one of the best books of all time about the art of communication. Millions across the world claim to have found success and happiness through reading it.
In this Chapter…

Performance feedback is one of the communicative skills of the leader which need to be strengthened regularly. Feedback can be provided through different means, including the feedback session. The objective of the feedback session is to inform employees of their performance on the assigned tasks and present the judgments of the leader with an aim to encourage employees to maintain positive achievements and correct faults. At the end of the session, the leader assigns new tasks to employees. The procedure for providing feedback is comprised of three stages: before, during and after the feedback session.

Before the feedback session, the feedback provider must:

- Observe performance
- Collect complete information on behaviors and results
- Compare observations with the criteria for task completion
- Identify achievements and areas for improvement
- Prepare feedback on performance

During the feedback session, the feedback provider must:

- Open the session and announce session objectives
- Give performance feedback to employees
- Negotiate the plan for task accomplishment with employees
- Assign new tasks
- Finish the session

In the feedback session, the leader needs to employ constructive feedback to improve the performance of employees. The leader may employ the nine principles from How to Win Friends and Influence People and the feedback sandwich strategy to express his or her points without hurting employees.
Following are nine of the 30 principles in *How to Win Friends and Influence People*, which you should consider applying when providing performance feedback to employees:

1. **Don't criticize, condemn or complain:**
   Criticizing subordinates when they make mistakes is not difficult. Going beyond criticism to treat them with tolerance and altruism will make them recognize their shortcomings and improve.

2. **Talk in terms of the other man's interest:**
   Put yourself in the shoes of employees to see what they look forward to hearing in the feedback session. For example, you can share difficulties and challenges faced by employees during their task performance, or describe what they have achieved by accomplishing the assigned tasks. You can also suggest worries and concerns that they should feel for failing to accomplish tasks.

3. **Give honest and sincere appreciation:**
   Every employee wants to be appreciated by the boss. Even in the worst situations, you can find achievements and provide positive feedback. You should also highlight specific achievements with honest and sincere appreciation so that you can move employees and get them to admire you.

4. **Call attention to other people's mistakes indirectly – Save their face:**
   Human beings intrinsically have a sense of pride. Saying frankly that somebody is wrong is the biggest mistake! By indirectly pointing out the shortcomings of employees, without naming any names, those at fault will realize they are to blame and try to adjust their behavior - while direct criticism might simply frustrate them.
5. **Ask questions instead of giving direct orders:**
   In questioning employees about the mistakes they made in the past, you should ask them why they failed to accomplish the assigned task and what objective or subjective difficulties they faced. When discussing future work, giving orders by raising questions enables the employee to make the decision along with you. When employees are allowed to make their voice heard in decision-making, they will take more initiative to work creatively and deliver the best work possible.

6. **Always make the other person feel important:**
   Make employees feel that if they accomplish the task, it will help the leader fulfill the institution’s goals. Tell them that without their contributions, you are unlikely to fulfill major goals. Show them how valuable they are as employees to the success of the institution.

7. **Be a good listener. Encourage others to talk about themselves:**
   Encourage them to talk about what they have done. Listen to them. If they feel they are heard, then they will respect what you are about to tell them!

8. **Make them dare to think – and act:**
   Instead of using authority to give orders, make them excited about the task that they are about to perform.

9. **Make the other person happy about doing the thing you suggest:**
   Working attitude is very important, as it has significant implications for the end result. Become an inspirational leader so that while performing their tasks, subordinates can keep the fire of their enthusiasm burning.
REFERENCE

Chapter 1:


Chapter 2:


Chapter 3:

Chapter 4:

Chapter 5: