

A guide to...

HOW TO RUN AN **APPRAISAL**



**PROFESSIONAL
ACADEMY**

Skills Focus



The appraisal process...

The purpose of an appraisal is to provide employers with information about how employees are contributing to business objectives, and to provide feedback to employees on how they are performing.

They should be regarded as mutually beneficial and be conducted in an atmosphere of honesty and trust.

Contents

- 1.** Benefits
- 2-3.** Drawbacks
- 4.** The performance management and appraisal management cycles
- 5.** Constructive appraisal factors
- 7.** Preparing for an appraisal as a manager
- 8.** Preparing for an appraisal as an employee
- 9.** During the appraisal
- 10-12.** Self-appraisal template
- 13-15.** Appraisal template



BENEFITS:

- Establishment of roles and responsibilities
- Exploration of strengths and weaknesses
- Neutral opportunity to address goal/performance-related issues
- Identification of training and development needs
- Opportunity to recognise accomplishments
- Allow collection information from employees which can be used to make them more productive
- Chance to focus on specific goals and projects



DRAWBACKS:

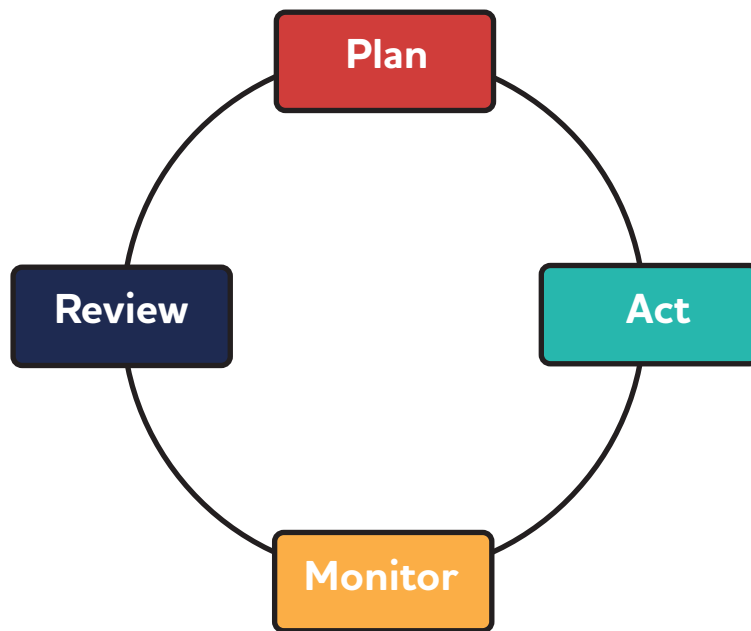
- Can create stress for the employee and employer (can be avoided by proper preparation, notification and circulation of pre-appraisal documents so the employee is prepared)
- Badly delivered appraisals result in a negative experience and demotivated employees (this will be avoided if the company develops an ethos of openness and trust between managers and employees, and both parties appreciate the value to themselves and the other party)
- Time consuming, especially when a manager has several employees (this can be avoided by appropriate division of pre-assessment tasks, and even sharing appraisal sessions if appropriate)



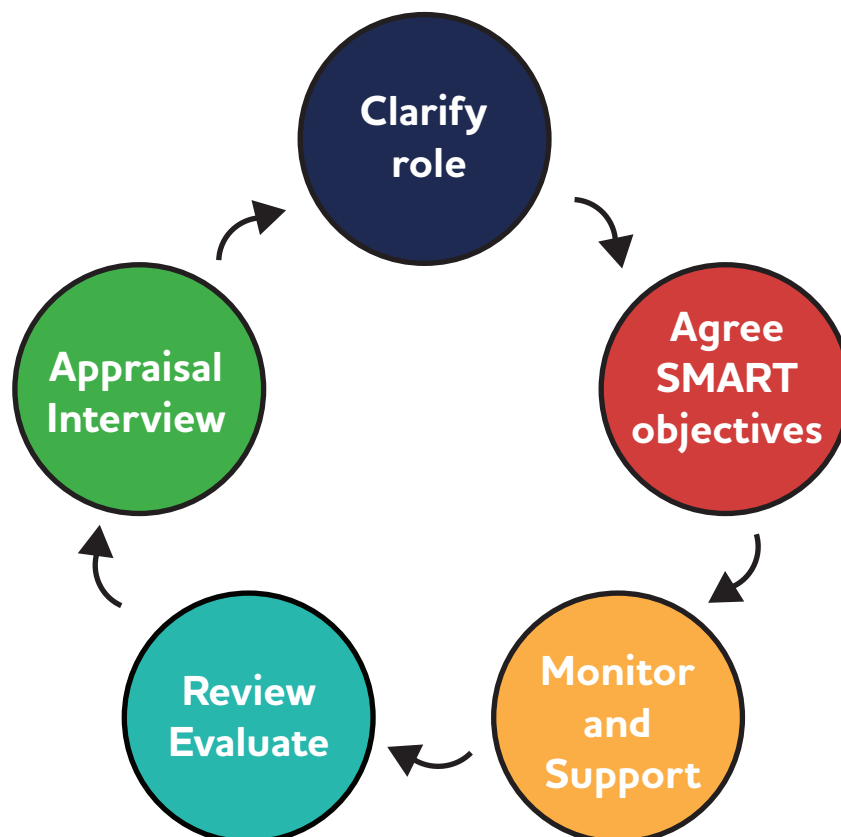
- Quantitative data needs to be kept as an on-going exercise (this can be done by developing and applying recording processes; this can include staff attendance, performance, achievement of goals, monitoring milestones, notes from departmental and other meetings; it is not sensible to leave data collection until just before the appraisal)
- Feedback is qualitative and can be influenced by personalities (this can be avoided by being aware of subjectivity and bias kept to a minimum)



THE PERFORMANCE MANAGEMENT CYCLE...



...IS LINKED TO THE APPRAISAL CYCLE



Whilst regular performance reviews should naturally take place during meetings with line managers, it is important to apply quantitative measurements to targets and share the findings. Quantitative data collection tools include control charts, Pareto diagrams, process mapping, etc.

However, a constructive appraisal will also depend on:

- Having a clear purpose (to communicate business objectives; to develop the employee etc.)
- Agreeing the period being reviewed (year, months, change in process)
- Participants having the right attitude (commitment to meeting objectives; taking responsibility for their roles as either manager or employee)
- Developing good rapport (questioning and listening; two-way conversation and reflection)
- Agreeing action plan



**TO PREPARE FOR
THE APPRAISAL,
MANAGERS
SHOULD:**



TO PREPARE FOR THE APPRAISAL, MANAGERS SHOULD:

- Review previous and current performance expectations and goals (have relevant statistics, and quantitative data to hand)
- Collect data on reports, feedback and results discussed through the year
- Collect feedback from others, if relevant (qualitative data)
- Circulate pre-appraisal documents (questionnaires etc.)
- Prepare own feedback and details of expectations and goals going forward (strengths, weaknesses, opportunities, threats)
- Share information on period of appraisal so the employee can also prepare



TO PREPARE FOR THE APPRAISAL, EMPLOYEES SHOULD:

- Complete and return any pre-appraisal documents requested
- Collect and review any relevant data in advance
- Go into the appraisal with a clear head so you can focus on the discussion
- Take responsibility for your performance
- Think about how to reach compromises should a difference of opinion arise
- Outline further personal or professional development which may be appropriate



DURING THE APPRAISAL:

- Avoid prejudice or bias
- Consider performance only within parameters agreed
- Focus on all aspects equally
- Identify barriers to performance and job satisfaction
- Suggest and listen to development proposals/requests
- Set and agree new/revised goals and targets
- Avoid confrontation and demonstrate flexibility (joint problem-solving)
- Summarise discussion
- Set deadline for further suggestions
- Circulate written copy of outcomes, both parties to sign and share with relevant colleagues (e.g. supervisors, HR)
- Complete reflection (What went well? What could have gone better? What did you learn?)



Self-appraisal Form

Name:

Department:

Date of last appraisal:

Date of next appraisal:

Time:

Venue:

Purpose of the Appraisal Meeting

To enable you to discuss, with your manager, your job performance and your future.

The discussion should aim at a clearer understanding of:

- The main scope and purpose of your job
- Agreements on your objectives and tasks
- Standards or targets for measuring your performance
- Your training and future prospects

You can prepare for the meeting and discussion by completing this form.

You may show this form to your manager. This will give him or her time to consider your problems and suggestions. If you do so, it will not be copied or filed without your permission.

If you prefer, you can use this form for your own guidance only, and not show it to anyone.

You will be given the opportunity to read the appraisal form prepared by your manager; you will be able to add your comments, and sign the appraisal form.

Bring to the appraisal meeting:

- your current job description
- your current action plan

Self appraisal

Name

1. Circle appropriate answers, and comment below

(a) Do you have an up-to-date job description? Yes No

Do you have an up-to-date action plan? Yes No

Do you understand all the requirements of your job? Yes No

Do you have regular opportunities to discuss your work, and action plans?
 Yes No

Have you carried out the improvements agreed with your manager which were
made at the last appropriate meeting? Yes No

2. What have you accomplished, over and above the minimum requirements of your job description, in the period under review (consider the early part of the period as well as more recent events)? Have you made any innovations?

3. List any difficulties you have in carrying out your work. Were there any obstacles outside your own control which prevented you from performing effectively?

4. What parts of your job, do you:

(a) do best?

do less well?

have difficulty with?

fail to enjoy?

5. Have you any skills, aptitudes, or knowledge not fully utilised in your job? If so, what are they and how could they be used?

6. Can you suggest training which would help to improve your performance or development?

7. Additional remarks, notes, questions, or suggestions

Appraisal form

Use this model form to record the issues discussed at an employee's performance appraisal meeting.

Employee's name:	
Job title:	
Department:	
Date of engagement:	
Manager:	
Date of meeting:	
Current performance	
Objective/competence 1: <i>This section should be used to record discussion on the key areas of the job, and include a summary of achievement against the objectives that have been previously agreed.</i>	
Objective/competence 2:	
Objective/competence 3:	
Development summary: <i>This section should be used to record any areas of the employee's work where further training and support is required, and any areas where performance is particularly strong and should be developed further.</i>	

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Development and training

This section should list specific requirements for any training or development. These activities are not restricted to training courses, and may include attachments, projects, coaching, planned experience or any other suitable activity that will enhance the skills, knowledge and behaviour required in the employee's work or to develop him/her further.

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Career planning

This section should record any areas of the department or Company in which the employee has expressed a specific interest.

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Other areas of discussion

This section should record any other points raised at the appraisal meeting.

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Assessment Level

This is based on performance over the year against objectives achieved

Outstanding performance
(Objectives exceeded and competencies more than fully demonstrated)

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Standard performance

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<i>(Objectives met and competencies fully demonstrated at required levels)</i>	
Less than standard performance with development needs <i>(Most objectives met but development required to fully meet all objectives)</i>	
Unsatisfactory performance <i>(Performance unacceptable; objectives not met, and competencies not demonstrated)</i>	
Employee's signature:	
Appraiser's signature:	
Date:	
Reviewing manager's signature:	
Date:	
One copy of this completed form will be kept by the appraiser, one by the appraisee and one in the employee's personnel file.	



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The Professional Academy Team