

MODEL: Appraisal scheme pack

The successful operation of any organisation depends primarily on using the full potential of its workforce.

This necessitates certain criteria being met which are to the benefit of both the organisation and its employees and requires a strategy to be put in operation to achieve this aim.

Both managers and staff have to be aware of the requirements of the individual job. This is best served by having a job description for each role.

Managers have to be able to identify the development needs of the organisation and their employees. To meet this aim there is a requirement for line managers to carry out a formal appraisal scheme.

The interests of the organisation and its clients/customers are best served by a workforce, which as individuals and a team, are carrying out their tasks to the most effective performance level. This is what performance appraisals are seeking to achieve and why they can have an impact on employees and organisation performance.

At the end of the appraisal, the employee should not be left feeling deflated. The aim is motivation with the knowledge that through targeting objectives, the line manager and the employee are working together to achieve the aims of that employee to be equipped better for his/her present or future roles within the organisation.

This booklet has been produced to assist line managers in the completion of appraisals for their employees.

Why appraisals are important

The system of appraisal will provide the means for you and your employee to jointly review his/her performance and in doing so it will:

- help improve your employee's future job performance by identifying strengths and weaknesses and determining how strengths can best be utilised and how weaknesses can be overcome
- help reveal problems which may be restricting your employee's progress and causing inefficient work practices
- encourage regular dialogue between yourself and your employees about their work performance which will result in improved communications and clearer direction
- develop a greater degree of consistency by ensuring that you and your employees meet formally and regularly to discuss performance and potential
- assist succession planning and determine suitability of employees for promotion
- move away from us reacting to an event into preparing for the event.

The purpose of this scheme is to:

- ensure an understanding and awareness of the individual/organisation objectives and the barriers preventing their achievement
- develop a knowledge and agreement of what is expected of individuals and how their contribution fits into the organisation
- review the individual's performance, giving a formal opportunity to discuss progress and identify improvements and build on strengths
- review potential development needs and to predict the employee's future capabilities and how these can be developed
- review progression and to assess the employee's eligibility to achieve promotion
- develop individuals so that job satisfaction and job performance is maximised, thus increasing effectiveness and efficiency resulting in the provision of an improved service for our clients/customers
- ensure we use our workforce in the most effective way.

The line manager will start the process by:

- ensuring that the employee has a copy of all relevant documentation and suggest that they read it thoroughly
- give the employee a preparation for appraisal form, allowing for self-appraisal, asking them to complete it and return it within a specified period
- give any further guidance or clarification on any aspect of the appraisal scheme which the employee may want
- arrange a mutually convenient date, time and place for the appraisal interview.

Self-appraisal

Self-appraisal forms the basis for the appraisal interview in terms of what the job is about, how they perform it, and what needs to be done by them, you or the organisation. It helps you and the employee to get to know each other better, and to help each other with common problems. You should encourage employees to complete a self-appraisal as honestly as possible. It is their opportunity to express how they think they have performed. You and the employee may not agree on the answers but it lets you know how the employee thinks they are performing.

Completion of performance appraisal form (line manager)

The appraisal interview revolves around the completion of the performance appraisal form. You may ask the employee to sign the form at the conclusion of the interview, or the performance appraisal form may be completed in pencil and notes made during the interview, with the form being formally completed afterwards. You should then briefly meet again for the employee to sign the form.

The form allows for the overall grading of the employee's performance. Having carefully considered their job performance, you will decide which of the ratings most accurately reflects and summarises their work over that year.

It is important to understand exactly what the ratings mean, their definitions, and how they relate to an individual's performance, the department and the organisation. The overall performance is evaluated on a five point scale related to degrees of effectiveness (the sixth option applies to new employees or those who have been in the current job for less than three months).

Appraisal interview

The appraisal interview should be a frank and open discussion. It should not be a stressful, highly pressurised situation where the parties involved are unaware of the objectives of the interview. You and your employee should bear in mind that the interview should be a discussion with several purposes. These are:

- to discuss the employee's job performance
- to discuss their strengths, and ways of building on them both for their benefit and the organisation's
- to identify any shortcomings, and ways of overcoming them, as they affect them and the department
- to discuss the overall grading of their performance. Remind them to bring with them their preparation for appraisal form.

To achieve this during the interview you should:

- put the employee at ease and state the purpose of the interview (two way communication)
- discuss the job situation and aspirations
- have accurate knowledge of the required and actual job performance
- give praise for effective work. If possible, relate to specifics
- limit criticism to two or three points of minor importance - specifics (unless there are severe shortfalls), be constructive
- invite self-criticism, encourage comment and questions
- discuss any obstacles to improvement - think positively
- summarise all major points discussed (at each stage)
- ensure action plan is agreed and understood (consult)
- agree targets and review dates
- listen and be seen to be listening
- ask open-ended questions, beginning with "how", "why", "when"
- not make promises you may not be able to keep
- appraise job performance, not the person (don't be biased - either way)
- spend as much time as possible looking to the future.

There is space on the performance appraisal form for the employee to make any comments about his/her appraisal, if he/she so wishes. The employee may record anything he/she feels regarding the discussion, the rating or any aspect of the appraisal process.

You should sign the performance appraisal form to confirm that you have discussed this appraisal with your employee. The employee can raise any issue if he/she is unhappy about his/her appraisal or rating, this should be dealt with appropriately. You are trying to evaluate exactly how the employee has performed in each of these areas, together with his/her overall performance of the job as a whole.

Your assessment of his/her performance should have been included on the performance appraisal form.

After the interview

Complete the agreed action plan. You should then explain the philosophy and mechanics of the form to the employee, and possibly discuss in general terms his/her targets/objectives. A further meeting should then be arranged to discuss, amend, if necessary, and jointly formulate the agreed action plan.

Reviewing and updating these targets provides other occasions for you to meet and discuss his/her performance with you during the year.

Example: Performance appraisal form: employer

Consider the employee's performance in general over the period of review, relating in particular to agreed targets/objectives/standards of performance, and to the existing job description.

Employee name:	Date of appraisal:
Job title:	Department:
Appraisal period:	
Which parts of the job has the employee performed most effectively?	
How has this been achieved?	
What action will be taken to build on the above strengths?	
What parts of the job could have been done better?	
Why was this?	
What action will be taken to overcome the above difficulties?	
Overall grading of performance (tick as appropriate)	
Constantly gives an outstanding performance in most areas of	

their job.	
Constantly gives more than an effective performance in most areas of their job.	
Gives an effective performance	
Sometimes gives an effective performance but some improvement required in many areas of their job (review in six months).	
Constantly underachieving and less than effective in most areas of their job (review in three and six months).	
Too early to assess (review in six months).	
Learning needs identified	
Employee comments	

Employee signature:

Date

Manager signature:

Date:

Example 1: Basic Personal Development Plan

Name:			
Job title:			
Start date:		Date of last review:	
Name of reviewer:		Date of this review:	

Your personal development plan is made up of four sections:

Strengths **Weaknesses** **Opportunities** **Training needs**

The purpose of this **SWOT** analysis is to assess where you are now, identify objectives for the future and the training and support you need to achieve them and, crucially, to evaluate how effective the development has been.

This is a 'living' document which will be reviewed at least once every three months. It will record the progress of your development and will be closely linked to the business plan and your departmental key performance indicators.

Note

Ensure that the employee is aware of all objectives and the importance of each one ie how it fits in with the overall Company service delivery. Objectives should be specific and have a tangible method of measurement.

Strengths

Which objectives set by the business plan, your last appraisal or induction, have you achieved?
(please include examples)

Reviewer's comments

Which areas of your job do you feel are going well?
(please include examples)

Reviewer's comments

Weaknesses

Which areas of your job do you find the most challenging?
(please include examples)

Reviewer's comments

What help (if any) do you feel you require to overcome these challenges?

Reviewer's comments

Opportunities

What opportunities to develop the business have you recognised?

Reviewer's comments

Are there any skills you have which you feel are not being used in your current work?
(please state how you feel these could help the organisation)

Reviewer's comments

Do you have any recommendations as to how the company can perform better as an organisation?

Reviewer's comments

Training

What are your objectives for the year ahead? Use this section to track your progress. What training do you need to achieve each one? Critically evaluate the effectiveness of the training and development you have or will under take.				
Objective 1	By when	Achieved y/n	Comments	Date
Training	Purpose	Date	Effectiveness	Action points
Objective 2	By when	Achieved y/n	Comments	Date
Training	Purpose	Date	Effectiveness	Action points

Objective 3	By when	Achieved y/n	Comments	Date
Training	Purpose	Date	Effectiveness	Action points
Objective 4	By when	Achieved y/n	Comments	Date
Training	Purpose	Date	Effectiveness	Action points

Objective 5	By when	Achieved y/n	Comments	Date
Training	Purpose	Date	Effectiveness	Action points
Objective 6	By when	Achieved y/n	Comments	Date
Training	Purpose	Date	Effectiveness	Action points

Example 2: Personal Development Action plan				
Objective	Why is this important?	How will I achieve this objective? What support has been identified?	Review date	How will my performance be measured?