

Model: Performance review policy

Policy

Appraisal is an opportunity for employees and their line managers to engage in formal discussion about the employee's performance and development, as well as the support required from the line manager.

The organisation runs appraisals on an annual basis. The appraisal meetings are two-way discussions that focus on the work of the employee over the review period. In particular, progress made by employees against objectives set at the last appraisal (or in the induction for recent employees) will be discussed and reviewed. Objectives for the forthcoming review period will also be discussed and set.

The appraisal aims to assist employees to develop to their full potential. It enables employees and line managers to identify strengths and development needs. The appraisal meeting also facilitates a formal discussion about the employee's career aspirations.

The organisation promotes continuous improvement and job satisfaction across all employees.

The appraisal meeting is a formal extension of the regular one-to-one meetings, coaching, mentoring and other training and feedback sessions that the organisation operates.

Eligibility

All employees that have completed their probationary periods are eligible for an appraisal meeting.

Appraisals for employees in their probationary period are different. These employees will be appraised during their probationary review meetings and will be moved into the standard appraisal scheme upon completion of their probationary review. Line managers will determine how long it will be between the end of the probationary review and the next appraisal; line managers may run a mid-point appraisal.

Features of the appraisal

Line managers are responsible for conducting the appraisals of their team members. The organisation will provide line managers with training on the conduct of appraisals and ongoing support if required.

Appraisal meetings occur each year - they are arranged during *[insert as appropriate – for example: the months of January, February and March]*. The current form for the appraisal will be provided by the line manager, prefilled with the employee's details, absence records, generalised sickness statistics and a summary of performance issues as held by the line manager/organisation.

Pre-appraisal - employee self-assessment

The organisation provides employees with a self-assessment form prior to the appraisal meeting. This enables the employee to prepare for the appraisal meeting itself by providing employees with an idea of the topics that will be discussed during the appraisal.

The self-assessment also helps the employee consider some of their performance over the review period and some of the issues they may wish to raise with their Line Manager. The information helps to focus the appraisal interview itself.

Self-assessment forms will be provided *[insert time period]* before the appraisal. The organisation requires employees to submit their self-assessment forms to the line manager *[insert time period]* before the appraisal meeting.

Pre-appraisal - line manager preparation

Line managers should ensure that performance issues are not saved up until the next scheduled appraisal meeting. Employees should not be surprised by any information provided at the appraisal relating to ongoing poor performance that the employee had not been aware of, resulting in them not meeting the targets set. The appraisal is a formal review of performance and ad hoc issues should be raised by the employee's line managers during the course of the appraisal period.

The organisation encourages line managers to reflect on the information provided by their employee in their self-assessment form as well as any additional information relevant to the areas of work performed by the employee.

The appraiser should gather all relevant documentation regarding the employee's performance as preparation for the meeting in order to provide a valuable assessment of the employee's contribution. Any targets assigned to the employee should be collated and measured against actual performance. Notes should be made on particular areas to be focussed on at the appraisal meeting.

The appraisal meeting

The organisation conducts appraisals for all employees, of all levels of seniority, receive the opportunity of participating in an appraisal meeting.

The organisation provides a form that is used in all appraisal meetings. The form is utilised to ensure that all appraisals are conducted consistently, with the same set of points covered for all organisation employees.

The appraisal meeting is discussion-orientated and during the meeting the line manager will run through the appraisal form, which is designed to keep the meeting structured and ensure the line manager facilitates a discussion on the key points of an employee's performance which is consistent across all appraisals.

The line manager will afford the employee the opportunity to identify their positive achievements and for these to be considered in the context of the employee's job role. The discussion should focus on the present and future performance in the job role, not on any personal characteristics.

The line manager will ask for the employee's comments as the appraisal proceeds, discussing performance with the employee. The line manager will ensure all parts of the appraisal form are completed. The notes taken by the line manager will also include a summary of the line manager's comments and a summary of the employee's comments.

Appraisal outcomes

During the appraisal meeting, the line manager and employee will discuss their objectives for the following review period. The organisation appraisal operates on the basis of objectives being set. These will differ dependent on the job role but will be realistic and achievable objectives for the employee to work towards and/or the completion of training courses and development opportunities.

The employee will be afforded time at the end of the appraisal, to read and review the form. Both the employee and the line manager will sign and date the form.

Where learning needs have been identified, line managers should provide, or arrange access to, training or coaching in order for those needs to be met which will assist the employee in attaining their objectives. A performance improvement plan may be put in place to provide a structured supervision process around meeting the learning needs.

If, after these measures have been implemented and performance reviewed, the employee does not demonstrate sufficient development, the HR department should be consulted over whether formal action is required.

Record keeping

Appraisal documents for all employees are stored on the personnel files, which are held confidentially and securely..

These documents include the self-assessment form completed by the employee and the appraisal form completed by the line manager and signed by both. Any notes taken by the line manager separately from the form are also retained with the form.

The employee will receive a copy of the completed and signed appraisal form, for their records.

Appraisal details will be held on the personnel file for *[insert time period]* from the date of the appraisal meeting that the documents relate to.

Policy Review

This policy will be reviewed every two years unless organisational or legal changes necessitate an earlier review.

Doc: 2019_PRA	Date Adopted:	Date Reviewed:
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APPENDICES:

Example: New Employee Induction Form

Name:			
Position:		Department:	
Start date:			

Completion of each activity should be indicated by entering a date and any relevant comments. The following activities are mandatory and wherever possible, should be completed within one week of starting work.

	Date	Comments
1. Welcome		
Introduction to colleagues		
Introduction to organisation:		
• Corporate identity		
• Organisation structure		
• Organisation history		
• Products/services, customers and competitors		
• Future plans and developments		
• Communication briefings to be expected		
Appointment of a buddy or mentor (<i>if required</i>)		
Aim of the induction process		
Tour of working and welfare areas		

2. Details of Employment

Issue and return the employee contract		
Review the job description		
Roles and responsibilities in organisation		
Issue and explain the employee handbook:		
• Terms & conditions of employment		
• Staff benefits		
• Hours of work and breaks		
• Discipline policy		
• Equality policy		
• Holidays		
• Sick leave		
• Maternity/paternity/parental leave		

• Performance management system, including probationary period and appraisals		
• Period of notice		
• Payment procedure		
Issue health questionnaire		
Issue personal details form		
Received P45 and NI number		
Issue uniform (<i>if required</i>)		

3. Health & Safety

Health & Safety Policy		
Discuss Health & Safety Induction Handbook		
• Fire prevention and evacuation		
• Accident reporting and first aid provisions		
• Housekeeping		
• Training required e.g. manual handling, working at height etc.		
• Dangerous substances or processes		
• Hazards and risks		
Introduction to health & safety representative		

4. Organisation Rules

Smoking policy		
Use of internet and social media policy		
Uniform policy (<i>if required</i>)		
General behaviour		

5. General Working

Working area/desk shown		
Email and phone system explained, including greeting when answering the phone and access to colleagues' phone numbers		
Arrange for systems access e.g. email and PC		
Access to website		
Office equipment explained		
Car parking detailed		
Security system		

Any other comments:

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This induction has been carried out by:

Name: Signature: Date:

I have understood all of the above:

Name: Signature: Date:

Example: Management of Probation

The line manager should ensure that the employee is provided with a copy of this document at each stage of their probation. The original document is to be kept by the line manager to monitor the employee's progress on the objectives set.

Employee Name:			
Position:		Department:	
Start date:		Line Manager:	

	Date due:	Completed (<i>please tick</i>):
Initial Meeting		
1-month review		
2-month review		
3-month review		

Initial Meeting

Objectives: The line manager should identify SMART objectives for the employee at the different stages of their probationary period.

Development Plan: The line manager should identify any training and development that the employee will need to support them to achieve their objectives. Specify how and when this training and development will take place.

Employees signature:		Date:	
Managers signature:		Date:	

Example: 1 Month Review

Date:

Summary of employee's performance and progress since the last meeting:

Details of performance, conduct or attendance which requires improvement:

Have the objectives identified for this period of probation been achieved? If NO, what further action is required and when will this be reviewed?

Have the training and development needs identified been achieved during this period of probation? If NO, what further action is required and when will this be reviewed?

Objectives: The line manager should identify any further SMART objectives for the employee to achieve by the next review meeting.

Development Plan: The line manager should identify any training and development that the employee will need to support them to achieve their objectives. Specify how and when this training and development will take place.

Employees signature:		Date:	
Managers signature:		Date:	

Example: 2 Month (second) Review

Date:

Summary of employee's performance and progress since the last meeting:

Details of performance, conduct or attendance which requires improvement:

Have the objectives identified for this period of probation been achieved? If NO, what further action is required and when will this be reviewed?

Have the training and development needs identified been achieved during this period of probation? If NO, what further action is required and when will this be reviewed?

Objectives: The line manager should identify any further SMART objectives for the employee to achieve by the next review meeting.

Development Plan: The line manager should identify any training and development that the employee will need to support them to achieve their objectives. Specify how and when this training and development will take place.

Employees signature:		Date:	
Managers signature:		Date:	

Example: 3 Month (3rd) Review

Date:

Summary of employee's performance and progress since the last meeting:

Details of performance, conduct or attendance which requires improvement:

Have the objectives identified for this period of probation been achieved? If NO, what further action is required and when will this be reviewed?

Have the training and development needs identified been achieved during this period of probation? If NO, what further action is required and when will this be reviewed?

Objectives: The line manager should identify any further SMART objectives for the employee to achieve by the next review meeting.

Development Plan: The line manager should identify any training and development that the employee will need to support them to achieve their objectives. Specify how and when this training and development will take place.

Has the employee's employment been confirmed? If NO please provide reasons and summarise the actions required.

Should the employee's probationary period be extended? If YES please provide reasons and specify any areas of improvement and how these will be monitored.

Length of extension:			
New probation period completion date:			
Employees signature:		Date:	
Managers signature:		Date:	

Example: 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. : BASIC Personal Development 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?

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Model: Skills profile

Use this questionnaire to assess an employee's current skillset and development opportunities. It may help you identify the employee as an excellent candidate for development in the company who should be encouraged to apply for promotion to a manager role in the future. It may also identify learning/training needs.

Measure the employee against each skill according to the following scoring system:

5 = consistently displays this skill

4 = often displays this skill

3 = displays this skill from time to time

2 = displays this skill on an infrequent basis

1 = this skill is not required by the employee/these skills are yet to be tested

Skills	1	2	3	4	5
Management skills					
Employees look up to this person					
Is able to motivate themselves					
Is able to motivate others					
Demonstrates self-confidence					
Effective delegation skills to the wider team					
Originality					
Has effective problem solving skills					
Paves new ground when solving problems					
Is able to strike a good balance between established practice and new methodology					
Demonstrates innovate thought					
Decision making					
Confident in making important decisions					
Displays a measured thought process					
Listens to others' ideas					
Displays common sense					
Adaptability					
Is able to take constructive feedback					
Learns from mistakes					
Is resourceful					

MODEL: Form for a performance appraisal

Consider the employee's performance in general over 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:	Appraising manager:
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, including support from manager?	
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:

MODEL: Feedback form for performance appraisal (appraisee)

Please complete this form as honestly as you can, including both positive and negative comments where appropriate.

Employee name:	Date of meeting:
Job title:	Department:
Appraisal period:	Appraising manager:
Did you feel prepared for the meeting? Did you give enough time for preparation?	
Were you given sufficient information to understand the purpose of the meeting?	
How useful was the preparation plan form?	
Did you understand the method used for assessing your performance?	

Are the objectives relevant to your role? Did you find the appraisal helped to clarify how you may achieve your objectives?

What commitment will you make to ensure your objectives are met?

What do you need from your manager to ensure your objectives are met?

Do you have any other comments to make about the process?

Employee signature:

Date:

MODEL:

Feedback form for performance appraisal (appraiser)

Please complete this form as honestly as you can, including both positive and negative comments where appropriate.

Employee name:	Date of meeting:
Job title:	Department:
Appraisal period:	Appraising manager:
Was the purpose of the appraisal process clear to you?	
Did you feel confident in taking part in the appraisal process? If not, please explain why	
Were you given sufficient information to understand the purpose of the meeting?	
How useful to you was the preparation plan form that the employee completed?	
Was the process fit for the specific role/tasks of the employee?	

Do you understand how the employee's objectives fit with the overall company strategy?

Do you have any other comments about the appraisal scheme, or any recommendations for change to enhance the process?

Employee signature:

Date:

MODEL: Review of skills and personal characteristics

This matrix is to be used to assist in assessing an employee's skills and personal characteristics that are required for the satisfactory performance of their role.

Against each skill/characteristic, you should include comments on the employee's performance and choose between the options of 'strength' or 'area for development'

Leadership		
Management skills Comments:		
Strength*	or	Area for development*
Takes ownerships of responsibilities Comments:		
Strength*	or	Area for development*
Ability to give clear direction Comments:		
Strength*	or	Area for development*
Strategic thinking		
Ability to formulate new ideas Comments:		
Strength*	or	Area for development*
Problem solving Comments:		
Strength*	or	Area for development*

Ability to identify future consequences of decisions made		
Comments:		
Strength*	or	Area for development*
Collaboration		
Works well in a team		
Comments:		
Strength*	or	Area for development*
Involvement in current group projects		
Comments:		
Strength*	or	Area for development*
Communication		
Ability to adjust communication level appropriate to audience		
Comments:		
Strength*	or	Area for development*
Clear and comprehensible manner		
Comments:		
Strength*	or	Area for development*
Good written communication		
Comments:		
Strength*	or	Area for development*

* indicate as appropriate