# [Company]

# “EFFECTIVE APPRAISAL WORKSHOP”

***Appraisal time again…..!***

# EFFECTIVE APPRAISAL

*www.human-resource-solutions.co.uk*

*2024*

WORKSHOP AIMS

By the end of the workshop participants should:

* Understand the elements of an effective appraisal system
* Know how to carry out an effective appraisal interview
* Recognise and know how to construct effective objectives
* Be able to utilise or adapt model documentation
* Understand the role of the appraisee and how we can assist them to get the best from the process
1. **Introduction**
* Introduction to the Appraisal Process
* Benefits, opportunities and concerns
* The Appraisal Cycle
1. **Skills required for effective appraisal interviewing**
* Questioning
* Listening
* Giving and receiving feedback
* Problem solving
* Note taking
* Being fair
1. **Preparation for the Appraisal Interview**

 - Collect the information

 - Prepare the environment

 - Prepare the appraisee

**4. The Appraisal Interview**

 - Introduction to the Interview

 - Main part of the interview

 - Setting effective objectives

 - Identifying the appraisee’s training and development needs

 - Concluding the Interview

 - Recording the Appraisal Outcomes

1. **Appraisal Documentation**
* Key elements to be included
* Examples of different models
1. **The Role of the Appraisee**

 - Understanding the feelings and emotions around appraisal

 - how to help the appraisee prepare for their appraisal

#### The Appraisal Process

Appraisal is not something that should happen in isolation, but is a continuous process throughout the working year. It should be an extension of day to day management and supervision of staff. It provides a formal opportunity for you and your staff to discuss their performance in the job at greater length and in a more considered way than is normally possible during everyday working conditions. The appraisal interview allows you and your staff to review last years performance and achievements, and preview next years objectives.

*Definition:*

Performance appraisal is:

1. A process of perceiving and making judgements about how successful a member of staff has been in achieving their objectives
2. A record of assessment of an employee’s performance and development needs
3. Agreement and follow-up on actions

It provides a number of opportunities / benefits as well as some concerns:

*WORKSHEET 1*

*With your partner, list out some of the benefits & opportunities you perceive from the appraisal process.*

*Also list out some of the concerns which you have, or which have been voiced by staff.*

*You should aim for at least 10 of each!*

|  |
| --- |
| **Benefits / Opportunities** |
|  |
| **Concerns** |
|  |

**Benefits, Opportunities and Concerns**

**Benefits & Opportunities**

1. Provides structured opportunity for staff at different levels to discuss work, their relationship and how they support each other
2. To provide a forum for individual feedback on work performance
3. Provides a formal channel through which development needs are identified
4. Clarifies what is expected of an individual and how this relates to the Company objectives
5. Improves teamwork through shared objectives
6. Face to face discussion on a one-to-one basis
7. Can plan ahead together
8. Chance to explain to staff about developments affecting the department / team
9. Opportunity to thank staff for a job well done
10. Can have a frank exchange of views
11. Can counsel and advise your staff
12. Staff can present their views and ideas
13. Opportunity for you to influence attitudes and behaviours

**Concerns**

1. Confidentiality
2. Time needed to carry out
3. Waste of time – never makes any difference
4. How to “measure” non-quantifiable objectives
5. Moving goalposts
6. Objectivity
7. Managerial vs non-managerial issues
8. Personality clash between manager and appraisee
9. It can be unfair
10. “My manager doesn’t understand what I do”
11. The process might be used in a disciplinary way

**THE APPRAISAL CYCLE -** How it should all fit together

1. Individual’s objectives cascaded from Company Planning cycle through manager
2. These are agreed at Appraisal Interview and last years performance reviewed
3. Personal Development Plan agreed for the year
4. Performance is monitored through year, informal reviews held and objectives adjusted
5. Performance reviewed at next Appraisal Interview where next years objectives are set.**THE SKILLS NEEDED FOR APPRAISAL INTERVIEWING**

Annual Company Business Planning process

Company / Directorate / Departmental Objectives

Managers Objectives

Revision of Objectives if necessary

Monitoring of Performance

Ongoing Informal Review

Personal Development Plan

Review of last years performance

Individuals Objectives

**Annual Appraisal Interview**

Team / Dept. Objectives

 An effective appraisal interview needs to be managed. It is up to you to:

1. set the tone
2. ensure an appropriate atmosphere
3. guide (not dominate!) the discussion
4. cover your agenda
5. provide opportunity (and encouragement) for the appraisee to cover their agenda

The appraisal interview will only be effective if both of you have a real exchange of views. Some of the skills which will help you to achieve this are:

1. questioning techniques
2. listening
3. giving and receiving feedback
4. problem solving
5. note taking
6. being fair

**Questioning Techniques**

You need to get the appraisee talking - about their views on the job, their performance and themselves. Not everyone finds it easy to talk in this way. As the appraiser you need to draw them out - you can do this by asking appropriate questions. However appraisal is a two-way process so you need to avoid the trap of using questions to interrogate the appraisee!

Many questioning techniques exist - some are useful, some are counter-productive. Useful techniques require the appraisee to think for themselves and to produce an answer uninfluenced by the question.

Counter-productive questions are those which either make answering difficult for the appraisee or which by their shape, control the length and form of the reply, or prejudice the reply in some way.

***Useful techniques:***

open questions - allow the appraisee to express their thinking rather than restricting them to a yes or no answer, or other simple response. They are particularly useful in setting the scene or relaxing the appraisee:

“…how do you feel the last year has gone?”

extending questions - invites further exploration and prompts for a fuller answer. Useful during the appraisal interview to draw out the appraisee and get her views fully expressed.

“..could you tell me a bit more about that?”

“..what are you thinking of specifically”

“..tell me what you would like to see done then”

linking questions - creates a smooth, logical flow by picking up the last response (or an earlier one) from the appraisee to move on in a different direction.

“..you have just mentioned the new computer system, which customers really appreciated - do you feel we have made enough progress in communicating with customers in general?”

comparison questions - encourages the appraisee to make evaluations for example on a before and after basis.

“..how have your skills changed as a result of going on the course?”

“..has the experience of the last six months changed your views?”

clarifying questions - it is important not to simply accept things at face value, or to continue with the interview when you are not really clear what the appraisee means or feels. To help clarify things, you can re-phrase or paraphrase the appraisee’s statements in an attempt to define the meaning.

“..are you saying that…..”

“..let me see if I understand the real problem as you see it…?”

***Counter productive techniques***

leading questions - tend to be ‘loaded’ or provocative in some way. The question generally contains within its form the answer the appraiser expects. It puts words into the appraisees mouth and as such must be avoided.

“..I assume you enjoy responsibility?”

“..you would agree that….?”

Multiple / tower questions - consist of a number of questions presented as a package to the appraisee. Apart from being confusing and adding to her anxiety, the appraisee will most likely only answer one of the questions.

“..what was your main responsibility during that time, how did you deal with any problems you encountered and how does it compare to the present job?”

closed questions - controls the length and form of reply, often only requiring yes or no. They are of little use for eliciting views or comments (but have some limited use as a clarifying question)

“..were you late twice last week?”

“..have you completed your qualification yet?”

**Listening**

*WORKSHEET 2*

**HOW EFFECTIVE ARE YOU AS A LISTENER**

The following table lists out many of the problems and pitfalls which prevent us being good listeners. Work through it, being honest with yourself and it will tell you a considerable amount about your own personal listening ability and your bad listening habits. Try to improve these!

|  |  |  |
| --- | --- | --- |
| **LISTENING HABIT** | **YES** | **NO** |
| 1. Does someone’s delivery or quality of speaking put you off?
2. Do you often find yourself trying to finish off sentences for someone?
3. Do you sometimes find you have drifted off and not heard what has been said to you?
4. If you are interrupted, do you allow yourself to become distracted from the speaker?
5. Are you aware of your body language and the effect it has on the speaker?
6. Do you find yourself interrupting a speaker if you want to put across your point?
7. Do you display any signs of irritation or impatience with a speaker, perhaps unwittingly?
8. Do you find it more difficult to pay attention to someone you dislike?
9. Do you ever try to make the speaker think you are paying attention when you are not?
10. Do you ever doodle instead of taking notes?
 |  |  |

Hearing an answer is **not** the same as listening to an answer! Hearing is done with the ears, and listening with the mind. It is all too easy to get distracted by thinking about what **you** are going to say next, and miss what is actually being communicated to you.

“*if communication during an interview is to be effective, the listening process involves much more than not speaking. As interviewer you must show that you are* ***actively*** *trying to understand, indicate your interest through expression, posture, body language in general, patience and acceptance of the interviewee’s difficulty in expressing their views.*

*Not all the things you will have to listen to are going to be interesting or worthwhile; there will be interviewees who will waste your time; there will be impractical suggestions; there will be those who bore you with pointless reminiscences; there will be the gossip, the liar, the inveterate complainer and many more. Who said listening was easy?! However as you have to listen anyway, concentrate on sifting out the facts and ideas which will be useful. Remember* ***you*** *have to manage the interview.”*

**How to Listen**

Motivate yourself to listen – realise how important it is for you to understand the message and how the speaker feels about what they are saying. Acknowledge (to yourself!) mannerisms or distractions about the speaker, and put them to one side.

Encourage the speaker – look interested, nod your head, say “I see” or “uh-huh” and occasionally paraphrase what you have heard to check understanding.

Beware the ‘concentration curve’ – It is easy to concentrate when you start listening because it is something new, and you are busy tuning into the speaker. However after a while concentration can fall away and distractions can take over. Then, as the speaker is about to finish, your attention is heightened and you strive to make sense of what you can remember of the message. If the important points were made during the middle part of the message, you may well have missed them. Be aware of this, and pull yourself back if you find your attention wandering.

* **Giving and Receiving Feedback**

You give feedback when you let your appraisee know your reaction to what is being said, or when you react to proposals or suggestions made to you. Positive feedback is encouraging, negative feedback is discouraging.

Let us assume you have made a what you think is a good suggestion to your manager who is carrying out your appraisal. Would you feel encouraged or discouraged by the following reactions:

1. *“For gods sake! I have repeatedly told staff that your suggestion is just not possible with the resources we have.”*
2. *“That ‘s a really good idea, it may not be possible with our staffing resources, but lets see what we can manage”*
3. *“Mmm….I’ll have to pass that one up the line..”*
4. *“I hadn’t thought of that, how do you think we might make that work?”*
5. *“Write it down and we’ll see what we can do; but don’t hold out too much hope”*
6. *“Leave it with me and I’ll give it some thought, I’ll let you know when I have decided if it’s possible”*
7. *“Suggestion noted….now can we talk about….”*

Remember also the importance of your body language, there is no point trying to give very positive verbal feedback if your posture is suggesting something else!

The feedback you give will significantly influence the way in which the appraisee responds. Negative feedback may well cause an already nervous appraisee to severely restrict their answers.

**Receiving Feedback**

Feedback works both ways, and you need to know what is being “said” to you by the appraisee. As well as listening actively, you need to be observant and respond to the behaviour of your interviewee.

If the appraisee is embarrassed, nervous or in other ways tentative, then they need to be encouraged. If they are overly passive, unresponsive, unco-operative or surly you need to try to find out what is causing this behaviour.

People sometimes get highly agitated or emotional, even losing their temper at times. This is simply a way of giving feedback to you, and you need to try to determine what is causing this to happen.

Do not get emotional yourself - remain as relaxed as possible. Calm the appraisee down by using reasoned conversation or if appropriate, positive feedback. A good tip is to switch the conversation to neutral subjects for a while.

Much of the feedback you will receive is contained in non-verbal “body language”. This is likely to be involuntary and may be unnoticed by the appraisee, but it can give important clues to the way they are reacting to the appraisal or even to particular questions. These may include such things as facial expression, body posture and tone of voice.

Remember it is up to you to manage the interview. Use the feedback you give to and receive from the appraisee to help you do so.

**Receiving Feedback**

*WORKSHEET 3*

Write down at least six examples of non-verbal feedback that may give you clues about how the individual is reacting.

|  |  |
| --- | --- |
| **Non-verbal behaviour** | **What does it mean** |
|  |  |

**Problem-Solving**

Experience shows that the most productive approach to an appraisal is to treat it as a dialogue where discussion is used to develop new ideas and mutually address problems. These problems may relate either to a shortfall in performance and achievements in the past, or to confusion about what is best for the future.

The objective of problem solving is to stimulate the appraisee’s thoughts in an attempt to get them to recognise and accept there is a problem, and to think about and propose solutions.

The feedback from the appraisee in this respect is particularly important when you have to discuss performance weaknesses. During this the appraisee may become tense and defensive and may reject what you say. This can hopefully be avoided if you can manage the interview such that the appraisee mentions their own weaknesses and develops their own solutions to their problems.

Remember to treat areas of weakness as problems which need to be resolved rather than as reasons for blame of recrimination.

“..*the basis of the problem solving approach is to explore and evaluate alternatives together.*

*Mutually acceptable solutions can be found if you avoid making the appraisee feel threatened. If she feels threatened she may become defensive and try to justify past actions rather than trying to look for new or better ways of performing.*

*If your appraisee sees that they are free to analyse the problems and have a say in any improvements to be made, they are much more likely to be motivated to think constructively, and to want to carry out any agreed actions. Solutions imposed by you, however carefully thought out are usually much less successful than solutions devised by and accepted as necessary by your appraisee themselves.”*

***To achieve this sort of problem-solving interview, you need to use the skills of listening, accepting and responding to the views and feelings of the interviewee. You will need to use questions carefully to help the interviewee develop their own ideas.***

***Your emphasis must be on helping the appraisee to identify solutions to problems rather than castigating them for the results of the problem.***

**Note Taking**

Note taking can if badly handled have an off-putting effect on the appraisee. You want to avoid situations where

1. you are so busy making notes you are unable to listen properly
2. you make the appraisee feel worried about the extent and content of your notes (“..will these somehow be used against me”)
3. large silences are created while you write

There are very good reasons to take notes during the interview as it can be very hard afterwards to remember everything that was said and agreed. Try to limit your notes to:

1. factual information gained during the interview
2. new ideas for improving their performance
3. constructive suggestions made by the interviewee
4. actions agreed

Always explain at the start of the interview the purpose of your note taking. They may also wish to take some notes - encourage them to do so.

**Being Fair**

The Company is an equal opportunities employer. This signifies that they are determined that all employees shall have the same chances, that performance will be judged only on the basis of how well people perform and not on such peripheral issues as age, sex, religion or “who they know / are related to”

You must treat all appraisees alike and discuss their performance objectively.

Avoid discrimination and continually question your own stereotypes. Your question must be “can this individual do such and such a job” and not “can women / older people etc in general do this job.

**Fairness Criteria:**

To be fair the appraisal should pass the following criteria:

Be undertaken by someone who knows the appraisee’s work.

This is essential. It is not fair for work to be appraised by someone who has no, or only limited contact of the appraisees’s day-to-day performance.

The performance should be reviewed for the whole period, not just a part of it. Also the review must give the complete picture, not just “golden moments” or “disaster dips”. You can’t judge a film by the trailer!

Assessment against agreed standards / objectives

It is unfair if the goal posts are moved without the appraisee’s knowledge. They must know what is expected of them so they can take responsibiliy for their work.

Confidentiality

Information about the appraisee’s performance must only be available to those who need it.

Integrity and honesty

Both sides should be frank and open, and what is said should fairly reflect the whole discussion.

No major surprises

The appraisee should not be surprised about what is said about her during the appraisal. If this is the case, then appropriate interim appraisals have probably not been carried out properly.

Appeal

If the appraisee feels the appraisal was unfair or inadequate in some way they should have the right of appeal to a manager usually more senior to the appraiser. This should be made clear to the appraisee at some point during the process.

*Some effects to be aware of:*

*stereotyping - this is where generalisations are made about individuals based on certain characteristics. For example :*

*“Men are much slower workers than women”*

*“People from certain areas are likely to be dishonest”*

*halo effect - this is where an individuals good performance in one area may influence your rating of other areas where their performance is not so good*

*horns effect - the reverse of the halo effect. For example an individual may be a very competent performer but have a poor sickness record. There is a danger that the attendance factor will spill over and “blacken” the others*

*“big bang” - this is where during the review period, the appraisee did something spectacularly good or bad, and this is almost the only thing discussed at the interview. Appraisal is about improving and developing normal day-to-day performance rather than one specific thing.*

**PREPARATION FOR THE APPRAISAL INTERVIEW**

No matter how well you know the individual whose interview you will be conducting you need to prepare for the interview.

*“..Lack of preparation on your part can make things difficult for you but also makes it uncomfortable for the appraisee. Many appraisees will be anxious or nervous when coming to the interview. You are the manager and it is your responsibility to prepare sufficiently well to be at ease and to ensure that the appraisee is at ease.”*

1. **Collect the information which you will require**

This will be dependant on the interviewee. The following headings will provide some guidance:

1. How they have performed against last years objectives
2. How they have managed their resources
3. Problems they have had, and how they have addressed these
4. Their strengths and weaknesses
5. Their likely training / development needs
6. Any changes to their job / objectives through the year
7. Any problems with relationships
8. Evidence of self-development over the year

Sources of information are likely to be:

1. Others who know the individual
2. Your own line manager
3. Last years appraisal / notes from interim appraisals
4. Your own knowledge of any records of the individuals work / performance through the year
5. The individual
6. Your own objectives for the year

**2. Prepare the Environment**

An effective appraisal interview needs to be carried out somewhere quiet and private and where interruptions are not likely. It is up to you as interviewer to make the necessary arrangements.

*Place* - Choose an appropriate room, one that is quiet and allows you to sit beside the appraisee. Face to face across a desk does not encourage a frank exchange of views.

*Time* - Allocate enough time for the interview. It is insulting to the appraisee to rush the interview. Make sure that the room is booked of for the planned time, and that the appraisee is informed of the time well in advance.

*Interruptions* - Privacy is important. Arrange for phone calls, bleeps etc. to be answered by someone else.

1. **Prepare the Appraisee**

*See section on the role of the appraisee***The Appraisal Interview**

**Introduction to the interview**

The interviewee needs to feel at ease, able and willing to participate and be clear of the purpose of the interview. These must be established **right at the start**. It is the job of the appraiser to achieve this.

During the introductory phase of the interview, you should:

1. explain the purpose of the interview
2. explain the stages of the interview
3. recap on the situation at the last (or interim) appraisal
4. state the benefits which you hope will be achieved by the appraisal
5. encourage the appraisee to use the notes which they may have prepared
6. ask the appraisee about their expectations of the appraisal
7. agree areas of discussion based on both your agendas

Remember to get the appraisee talking at this stage - don’t make it a one-way lecture. If you do it may set the tone for the rest of the interview.

“*the introduction to the appraisal interview should not be a quick garble through a few disjointed statements but should be seen as your opportunity to establish the friendly but business-like atmosphere needed for the rest of the interview.”*

**The Main Part of the Interview**

Once the introductory part of the interview is over, you will want to move into that part where you review last years performance, and agree objectives for the coming year.

Having agreed during the Introduction what you are going to talk about, **let the employee go first** and give her view of how the year has gone. If she is finding it difficult to get started you could consider some of the following questions:

1. what have you done most effectively or has given you most satisfaction during the year?
2. what have you done least effectively or has given you least satisfaction during the year?
3. have you come across any obstacles - in the job situation, or in your own knowledge and skills that have prevented you from working as effectively, or with as much satisfaction as you would have wished?
4. if so how might these be overcome or avoided?

**Reviewing each specific objective**

Consider each objective in turn with the appraisee and consider:

1. was each action carried out within time and effectively
2. was appropriate training and support given - if not, why not
3. were there constraints outwith the individuals control e.g. lack of resources, sickness etc.
4. did the individual timeously identify potential problems with achieving the objective and actively seek solutions
5. ?application of a performance rating

***How do we deal with the underperformer who has not adequately met their objectives?***

Discuss and (as far as possible) agree jointly why the objectives were not met. Possible areas to explore include:

1. too much time spent on lower priority work
2. no attempt to seek alternative solutions to problems
3. tendency to blame others
4. problem not solution focused
5. insufficient effort

***How do we address the problem?***

1. Have clear facts, times, examples etc. to hand to inform discussions
2. Frank joint discussion of problems
3. Agree as far as possible the cause and potential solution to the problems
4. Agree tight achievable objectives
5. Agree support, training and review mechanisms
6. Close informal monitoring

**Agreeing Objectives for this Year**

The 9 features of effective objectives:

1. They express a result - all objectives must have a specific result / outcome which if possible should be measurable (this is not always possible in the context some jobs of course where qualitative unquantifiable issues are more important.)
2. There are not too many - somewhere in the region of 6-8 is about right. Too many can be confusing, and if too few they tend not to be specific enough.
3. Balanced - between “*maintenance*” objectives which are about keeping the show on the road; i.e. the routine things which must be completed, “*innovation*” which is about new initiatives and improvements, and “*people*” objectives which may include things like improving communications, developing staff etc.
4. Achievable and realistic - although objectives should stretch people, this should not be to breaking point! Watch out for the fact that some people may promise more than they can deliver.
5. Ownership - individuals at one level will have objectives which contribute to the objectives of those above them, but it is very important for everyone to be able to identify their own contribution and take ownership of their own objectives.
6. Consistent with the Company / Directorate / Department objectives - individuals need to see how their objectives fit into the “bigger picture”, and therefore it is important to outline for them the organisational objectives
7. Acknowledge constraints, opportunities and potential “moving goalposts” - these should be noted at this point, and reviewed regularly. Objectives may need to be altered if necessary. However it must also be acknowledged that these are not excuses to explain away poor performance. The reason for acknowledging them at this stage is to try to plan a way around them.
8. Agreed - where possible all objectives and required actions should be agreed with the appraisee. However we must accept that the appraisee is not completely free to reject things which she does not like the look of.
9. Expressed in plain english - woolly and vague objectives are unhelpful. It is vitally important that these are clearly expressed, and that you test the appraisee’s understanding of them.

**Drafting an Objective**

*WORKSHEET 4*

Choose a problem or difficulty you have identified within your area of responsibility. Draft an objective for yourself (as the person with responsibility for this) which will address the problem and which follows the rules for effective objectives.

|  |
| --- |
| **OBJECTIVE** |
|  |
| **ACTIONS WITH DATES** |
|  |
| **OUTCOMES WITH DATES** |
|  |

**Identifying the appraisee’s training and development needs**

In addition to discussing past performance, and future objectives, it is important to set aside time to consider with the appraisee what training and development needs they have to assist them to carry out their job as effectively as possible. It is also helpful to discuss their own career aspirations, and how they would like to develop. The role of the appraiser is to ensure a realistic balance between the hopes and ambitions of the appraisee and the needs of the organisation.

During this you will need to discuss:

1. how does the appraisee see their future career, and what are their aspirations
2. your perception of the future for the appraisee
3. areas where specific training is required to assist them to do their job / meet their objectives
4. area of professional development required to maintain / enhance professional skills
5. areas of development they wish to undertake which may be of more benefit to them than the Company

If the individuals aspirations are unrealistic or unsuitable, you will need to guide the discussion towards that which is reasonable and sensible.

**Concluding the Interview**

Once you have worked through the appraisal interview framework, you will have:

1. discussed the appraisee’s performance over the last year
2. discussed problems or difficulties
3. identified likely solutions to the problems
4. agreed the appraisee’s objectives for the year
5. agreed the appraisee’s personal development needs
6. agreed actions to be taken

At this point, it is important for you to summarise the interview so both of you know what has been achieved and agreed. Obviously each interview will vary but in your summary you should cover:

1. solutions identified to problems
2. specific job objectives agreed
3. actions to be taken forward by both you and the appraisee
4. agreement about reviewing objectives through the year
5. actions in relation to training and development activity

The interview summary should not be long and drawn out, however it does provide an opportunity to clarify any misunderstood points or badly covered areas of the discussion.

**Recording the Appraisal Outcomes**

Once the interview has been completed, you need to make a formal summary of what has been agreed. This should then go the appraisee for feedback and then to the reviewer for comment. The appraisee should receive a copy of the fully completed appraisal to keep.

##### Appraisal Documentation

*The most effective piece of appraisal documentation is a blank piece of paper!*

In many people’s minds, appraisal conjures up a printed form. Although an appraisal discussion does need some documentation, the form on it’s own will achieve very little.

The main purpose of an appraisal form is to record, for the benefit of the appraiser and appraisee the main conclusions of the appraisal session, in particular any agreed action plan. The structure of the form serves only to guide the appraiser and helps to ensure that the appraisal process follows a logical sequence.

The appraisal process or appraisal form if developed locally should address the following areas:

* A review of the last years objectives – were these achieved, and what were the significant achievements and failures in the year
* The agreed objectives for next year, and any risks to their achievement
* Areas where the appraisee requires development and what actions are to be taken to address this
* Any other agreed actions
* Facility for the appraisee to make a comment on the appraisal

Other appraisal documentation can be useful as a guide, for example separate forms for the appraiser and / or appraisee to act as a guide in preparing for the appraisal interview. These forms should be helpful, and not so cumbersome or bureaucratic that they put people off using them.

Some examples of appraisal forms are shown at Appendix 1.

##### The Role of the Appraisee

The appraisee needs help to understand the appraisal process and time to prepare for their appraisal interview. Many organisations run training courses for all staff who are to be appraised as well as for the managers who will do the appraising.

Appraisees should be asked to think about the following prior to their appraisal interview, and to discuss any worries with their colleagues or manager:

* What are the benefits of appraisal, and what particular concerns do they have in relation to the process
* About their job
* Main purpose
* What skills do they need
* Has their job changed
* Do they think their job may change in future

#### About their performance

* What have they done well this year
* What have they had difficulty achieving this year
* What have they enjoyed and not enjoyed about their job this year

#### About themselves

* What training would help them to do their present job better
* What extra duties would they like to take on to improve their interest and motivation or to develop themselves
* Short-term and longer-term career aspirations
* What support do they feel they need from you as manager to help their personal development?

The manager should make a point of discussing the appraisal interview process with all staff to be appraised, ensuring that they are aware of what will be happening.

##### The Role of the Appraisee

*WORKSHEET 5*

Think of a member of your staff who you are going to be appraising. Try to consider someone who you think will be particularly anxious or apprehensive (or even particularly aggressive towards appraisal). Outline below the steps you intend to take to address this to try to ensure that the appraisal interview is a positive experience for them.THE APPRAISERS CHECKLIST

**Preparation**

*Collect the information which you will require*

1. How they have performed against last years objectives
2. How they have managed their resources
3. Problems they have had, and how they have addressed these
4. Their strengths and weaknesses
5. Their likely training / development needs
6. Any changes to their job / objectives through the year
7. Any problems with relationships
8. Evidence of self-development over the year

*Prepare the Environment*

1. Choose an appropriate room
2. Allocate enough time
3. Inform the appraisee well in advance
4. Ensure there will be no interruptions

*Prepare the Appraisee*

1. Explain the appraisal process in advance
2. Allow them time to adequately prepare
3. explain to them how to get the most from the appraisal interview

**Reflect on the skills you require for effective appraisal interviewing**

questioning, listening, giving and receiving feedback, problem solving, note taking, being fair

**The Appraisal Interview**

*Introduction*

1. explain the purpose of the interview
2. explain the stages of the interview
3. recap on the situation at the last (or interim) appraisal
4. state the benefits which you hope will be achieved by the appraisal
5. encourage the appraisee to use the notes which they may have prepared
6. ask the appraisee about their expectations of the appraisal
7. agree areas of discussion based on both your agendas

*The Main Part of the Interview*

Employees gives view of how the year has gone

Prompt questions:

1. what have you done most effectively or has given you most satisfaction during the year?
2. what have you done least effectively or has given you least satisfaction during the year?
3. have you come across any obstacles - in the job situation, or in your own knowledge and skills that have prevented you from working as effectively, or with as much satisfaction as you would have wished?
4. if so how might these be overcome or avoided?

Review each specific objective

1. was each action carried out within time and effectively
2. was appropriate training and support given - if not, why not
3. were there constraints outwith the individuals control e.g. lack of resources, sickness etc.
4. did the individual timeously identify potential problems with achieving the objective and actively seek solutions
5. ?application of a performance rating

Agree Objectives for this Year

*Identify the appraisee’s training and development needs*

1. how does the appraisee see their future career, and what are their aspirations
2. your perception of the future for the appraisee
3. areas where specific training is required to assist them to do their job / meet their objectives
4. area of professional development required to maintain / enhance professional skills
5. areas of development they wish to undertake which may be of more benefit to them than the Company

*Concluding the Interview - summarise:*

1. solutions identified to problems
2. specific job objectives agreed
3. actions to be taken forward by both you and the appraisee
4. agreement about reviewing objectives through the year
5. actions in relation to training and development activity

**Record the Appraisal Outcomes**

APPENDIX 1

SAMPLE APPRAISAL DOCUMENTATION

Insert some examples from other organisations

##### EXAMPLE OF A HANDOUT FOR INDIVIDUAL MEMBERS OF STAFF TO ASSIST THEM WITH PREPARING FOR THEIR APPRAISAL INTERVIEWThe Role of the Appraisee

**Why should we bother with appraisal?**

If you don’t know *what* you are supposed to be doing, and more importantly for appraisal if you don’t know *how* you are doing, you could be trying very hard and doing your best but still be getting things wrong. The purpose of the appraisal process is to assist you to know what is expected of you in your job, and to support you in carrying this out.

Of course you might say it is not possible to improve a person’s performance by assessing results just once per year. You would be right! Your manager will also be appraising you and your colleagues, albeit informally, day by day and week by week throughout the year.

Appraisal then is a continuous process. The system we have within the Company also provides a formal opportunity once per year for you and your manager to meet and look together over what you have achieved during the last year and to agree objectives with you for the year ahead.

*Take some time now to list out some of the benefits you perceive from the appraisal process. Also list out some of the concerns which you may have.*

|  |
| --- |
| **Benefits**  |
|  |
| **Concerns** |
|  |

Discuss with your colleagues and manager some of the benefits, and in particular the concerns you have.

**THE APPRAISAL CYCLE -** How it should all fit together

1. Individual’s objectives cascaded from Company Planning cycle through manager
2. These are agreed at Appraisal Interview and last years performance reviewed
3. Personal Development Plan agreed for the year
4. Performance is monitored through year, informal reviews held and objectives adjusted
5. Performance reviewed at next Appraisal Interview where next years objectives are set.**How can I prepare for my appraisal interview?**

*Discuss with your manager how the objectives that you will agree with her fit into the overall picture which enables the Company to meet its objectives.*

Annual Company Business Planning process

Company / Directorate / Departmental Objectives

Managers Objectives

Revision of Objectives if necessary

Monitoring of Performance

Ongoing Informal Review

Personal Development Plan

Review of last years performance

Individuals Objectives

**Annual Appraisal Interview**

Team / Dept. Objectives

To get the best from your appraisal, you need to prepare for the appraisal interview. The best way to do this is to give some thought to 3 things:

1. your job
2. your performance
3. yourself

Jot down briefly some bullet points under the following headings:

**Your Job**

|  |
| --- |
| What is the main purpose of you job |
|  |
| What skills do you need to do your job well |
|  |
| How has your job changed over the last few years |
|  |
| How do you think you job may change in future |
|  |

**Your performance**

|  |
| --- |
| What have you done well this year?Be specific and give examples |
|  |
| What have you had difficulty achieving this year?Be specific, give examples, state the cause of the difficulty |
|  |
| What have you enjoyed and not enjoyed about your job this year? |
|  |

**Yourself**

|  |
| --- |
| What training would help you to do your present job better |
|  |
| What extra duties would you like to take on to improve your interest and motivation or to develop yourself? |
|  |
| Where do you see your career going - short-term, long-term? |
|  |
| What support do you feel you need from your manager or the Company to help your personal development? |
|  |

**Getting the most from the Appraisal Interview**

Some people get very anxious about appraisal interviews. This is quite understandable as we know it will be our strengths and weaknesses which will be being discussed!

All the same there should be no need for you to be anxious as most of us are doing a reasonable job. There are at least four reasons why you should be able to approach the interview with confidence.

1. The interview should be productive - it will be a joint planning session with your manager, in line with others you may have had during the year, except it will concentrate on the next twelve months rather that the next days or weeks.
2. You will understand your managers role - she will try to achieve the best possible results by concentrating on how to make the most of your strengths, and by helping you to overcome your weaknesses. Look to your manager for practical guidance and advice.
3. You will have done your preparation - you will have thought about “your job”, “your performance” and “yourself”.
4. You will have some purpose of your own - the appraisal interview is an opportunity for you to put your viewpoint and comment on any new tasks or additional responsibilities, new procedures, training etc. which you would like to discuss.

**Some points to remember**

1. If your appraiser makes a comment or asks a question you don’t understand, ask for it to be explained.
2. If you don’t understand a question, admit it - don’t flannel!
3. Be prepared to enter into an honest and frank discussion with your manager
4. Your manager will emphasise mutual problem solving and will expect you to contribute to this discussion

**Dealing with Criticism**

At times there may be a need for you manager to criticise some aspect of your work or performance.

“..*the purpose of criticism should be to help you get better at your job..”*

Here are some points to bear in mind when facing criticism:

1. listen as coolly as you can without interruption
2. establish exactly what is being criticised (don’t put up with vague generalities)
3. try to look at the criticism objectively - can you see where the appraiser is coming from?
4. don’t attack the appraiser or suggest they are stupid , prejudiced or a bad manager (even if you believe it!). Remain calm
5. don’t offer excuses, but do try to explain your side of things
6. ask what can be done to address your fault or shortcoming. The appraiser will have thought of some ideas, and if you have some of your own, then so much the better.

**After the Interview**

1. Make sure you receive a completed appraisal form so you can insert your comments.
2. Ensure you receive a final copy of the appraisal with the reviewer’s comments.
3. Make sure you understand what you have agreed to do.
4. Do it.
5. Make sure you understand what the appraiser agreed to do.
6. Remind her if the actions are not forthcoming.
7. Discuss any changes to your job as they occur, and the effect this may have on your objectives.
8. Use the appraisal reviews and the annual interview to look for ways in which to become better at your job and enjoy it more.