

# 24. How to Conduct a Performance Appraisal

## 1 OVERVIEW

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An appraisal (or performance review) is an opportunity for employees and their line managers to have a formal discussion about the employee's performance and development, as well as identify any support required. The objectives of an appraisals are:

- To help employees understand what is expected of them and how they contribute to the organisations current and future plans.
- To give and receive feedback on the performance of an employee.
- It enables employees and line managers to identify strengths and development needs.
- To set goals and objectives for the forthcoming review period.
- To discuss training and development needs
- It facilitates a conversation about the employee's career aspirations.

In order to promote continuous improvement and job satisfaction, an appraisal meeting should be held with all employees regularly, usually annually. It is recommended that each employee has a regular monthly progress review meeting with their manager to communicate regularly and ensure the employee is supported.

## 2 PERFORMANCE MANAGEMENT DURING PROBATION

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Employees in their probationary period will be reviewed during their probationary review meetings and will be moved into the standard performance appraisal scheme upon completion of their probationary period.

## 3 STAGES OF THE APPRAISAL

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### Pre-appraisal

It is good practice for an employer to give an employee a self-assessment form prior to the appraisal meeting. This gives 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.

Provide the employee with a pre-appraisal form along with a copy of their job description.

Agree a date and time for the appraisal meeting to take place and arrange a room with no interruptions.

Ask the employee to reflect and complete the pre-appraisal form and return prior to the appraisal meeting.

Collect relevant information/evidence from the employee's HR file, such as the job description and previous appraisal documents.

You should ensure that issues relating to poor performance are dealt with at the time and not saved up until the next appraisal meeting.

## 4 THE APPRAISAL MEETING

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An appraisal form is often used during the meeting to ensure that they are conducted consistently, with the same set of points covered for all employees.

At the beginning of the appraisal meeting, welcome the employee and make them feel at ease.

During the meeting use the appraisal form as a structure for the conversation. Ask relevant open questions (what, why, when, who, how, where). For example:

- What would you like to achieve within the next 12 months?
- How will you achieve this and who can help you?
- What do you think you do well?
- Where do you think you could improve?
- What support, training or help do you need?
- When do you think you can achieve this by?

## 5 APPRAISAL OUTCOMES

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During the appraisal meeting, you will discuss objectives for the employee to complete during the following review period. These will differ depending on the job role but they should be realistic and achievable targets for the employee to work towards. You could also discuss relevant training courses and development opportunities.

Where learning needs have been identified, you should provide training or coaching in order for those needs to be met. This will assist the employee in achieving 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, the employee does not demonstrate sufficient development, you may need to consider whether further formal action is required.

## 6 RECORD KEEPING

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Ensure that all records relating to the performance appraisal, including the self-assessment form and the signed appraisal form are retained confidentially and securely on the individual's HR file.

## 7 FOLLOWING UP

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After the appraisal, keep in touch with the employee regularly to find out how they are getting on with the goals set at their appraisal and to offer support where required.

## 8 NEXT STEPS

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- Meet regularly with your employees to find out how they are getting on and help them with any issues.
- Ensure a pre-appraisal form is completed by employees so they can self-assess prior to the appraisal meeting.
- Ensure you use an appraisal form to capture notes during the appraisal meeting.

## 9 FACTSHEETS & TEMPLATES TO HELP

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- How to Identify Training Needs
- How to Create and Action Plan for Employees
- How to Manage Probationary Periods
- Pre Appraisal Form
- Appraisal Form

## 10 FOR MORE ADVICE AND INFORMATION

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**ACAS** - (Advisory, Conciliation and Arbitration Service) free and impartial information and advice to employers and employees on all aspects of workplace relations and employment law. [www.acas.org.uk](http://www.acas.org.uk)

**Achieve in Bath & North East Somerset** - free recruitment support, advice and help. Matching job seekers, employers and course providers to help employers recruit, train and retain employees. [www.achieveinbathnes.co.uk](http://www.achieveinbathnes.co.uk)

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***Bibliography** - this fact sheet was produced by Rathbone HR Solutions in association with Cool Ventures Ltd in December 2018 with content sourced from; HR Inform ([www.hr-inform.co.uk](http://www.hr-inform.co.uk)), ACAS ([www.acas.org.uk](http://www.acas.org.uk)), CIPD ([www.cipd.co.uk](http://www.cipd.co.uk)), the pensions regulator ([www.thepensionsregulator.gov.uk/en/employers](http://www.thepensionsregulator.gov.uk/en/employers)), HMRC([www.gov.uk/government/organisations/hm-revenue-customs](http://www.gov.uk/government/organisations/hm-revenue-customs)), the Information Commissioner's Officer website ([www.ico.org.uk](http://www.ico.org.uk))*



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