



Excellent Appraisals Workbook

A Promoting Excellence Online Course

This is part of a series of online courses
available from Promoting Excellence
Leadership Consultants.

Date the course started:

Date completed:

Name:

Workplace:

Role:

HOW THE COURSE WORKS

The Promoting Excellence Certificated 'Excellent Appraisals' Course consists of a series of Modules, each containing slides with videos, and a workbook containing materials, tables, and plenty of space for your notes and observations to key in onscreen. All is available for you to download and either retain or print as you wish.

Taken together, they will lead you, in a modular basis, through the whole of our Promoting Excellence 'Excellent Appraisals' Course, and the course will conclude with a certificate that you can download to show you have successfully completed the training and have been officially certificated by Promoting Excellence Limited. Your name can be typed onscreen into the certificate, which can then be retained and saved for future reference as a PDF - or printed off to be framed or filed, as you wish.

Each module has video narration, so it is best to complete the course where sound will not disturb others around you. The course is linear, so you should start by downloading and completing the Introduction, followed by Module ONE, Module TWO, and so forth. Your password and login ID gives you access to the course, in most cases, for a full year from purchase, so you will not need to rush, but can work methodically. Some downloads are quite large - up to 50MB or so - so you should only download the module upon which you are currently working, before progressing to the next one.

If a module has any additional worksheets, diagnostics or bonus materials, these are listed onscreen in your course download page, in the order you will need to download them. Not all courses, and not all modules have worksheets or handouts, but where they do, they are listed below for you to download and use.

IS THE COURSE FOR AN INDIVIDUAL OR A GROUP?

The course has been written for use by individuals or small groups. An individual will need to reflect upon some of the ideas raised, and to jot down their thoughts in the workbook – perhaps to discuss with a 'Critical Friend'. Or the individual may like to then discuss their ideas with peers, or a competent leader. A small group will find benefit in discussing the ideas and issues raised as a group and perhaps agreeing on joint actions.

AIMS

- To deepen your knowledge and understanding of highly effective performance management and appraisals.
- To further develop your confidence and ability in order to ensure your experience of appraisals is positive and rewarding.

OUTCOMES

- On completion of this module, it is expected you will be able to manage appraisals very effectively, thus benefiting yourself and/or your colleagues.

SOME HOUSEKEEPING POINTS

In each module, you can go forwards to the next slide by clicking on the button in the top right corner of each module-slide. To signify that a slide is fully completed and ready to advance, the button-label will flash. You can also go backwards to look again at any slide you have completed. To do that click the button in the top left corner. When going back through slides, their videos (if any) will not automatically play - but you can play them by clicking on them)

Click this button to go to the previous slide

Click this button to go to the next slide

The slide is complete when this begins to flash

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If you are viewing this course on an iPad, please choose the option 'Download', rather than 'View'. Download gives you the full file (remember you need the Apple PowerPoint app, free to all Microsoft 365 subscribers. It is best to download and run the PowerPoint App first.) The Download will be saved into 'Files' on your iPad and will then auto-run if you have the PowerPoint App already downloaded and it has been run already at least once. The iPad & Android versions of Adobe Acrobat does not support PDFs with embedded calculations, so it is best to complete your diagnostics and workbooks on a PC or a MAC.

Technical support on device configuration options can only be provided by your ICT department. The course has been tested and certified as running on PC (Windows 10, Windows 11, with Office 365 (v25-01 tested) and iPad (iOS 18 tested), but should work equally well on an up-to-date MAC.

Adobe Acrobat Reader is required to complete diagnostics and workbooks.

All modules are in Microsoft PowerPoint Show format.

This workbook can be completed on-screen and saved as you wish.

PLEASE NOTE THAT IT IS NOT SAVED UNLESS YOU SAVE IT. WE RECOMMEND YOU SAVE IT TO YOUR DOCUMENTS FILE ON YOUR PC OR MAC.

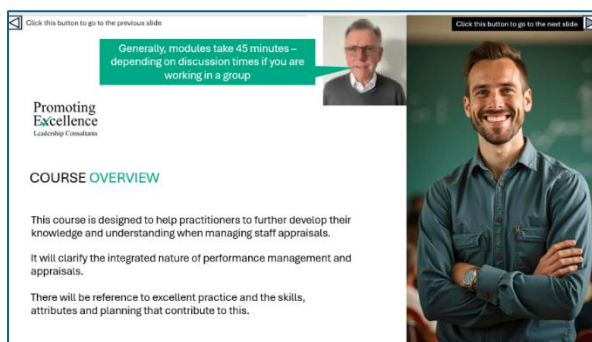
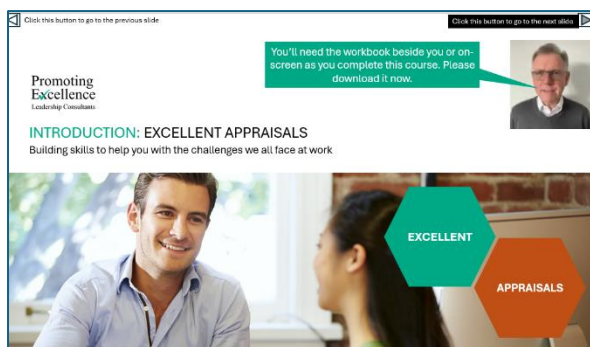
YOUR COURSE IS PRESENTED BY THE VIRTUAL PETER RUSHTON.

PETER RUSHTON IS A SENIOR CONSULTANT FOR PROMOTING EXCELLENCE LTD.

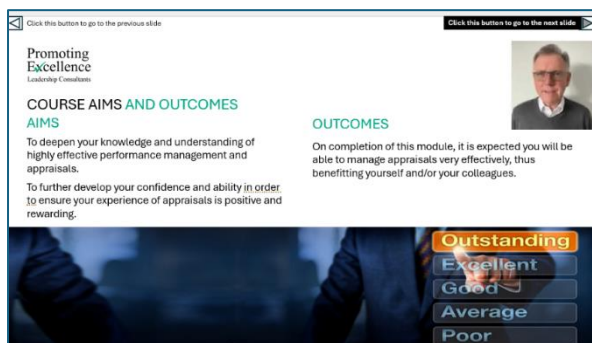
INTRODUCTION

- Resources Required
- INTRODUCTION slides: Introduction – Excellent Appraisals (ppsx file)
 - This Workbook

The course begins with a short Introductory Module.



Please note that you can follow slides from the video in this workbook by their headings on screen. All work sheets can be downloaded separately and should be used alongside this workbook.



There are 7 modules in the complete course – plus this Course Introduction and Certification.

They are: -

Module 1: What is Appraisal? What is the link to Performance Management?

Module 2: The Benefits of Performance Management and Appraisals

Module 3: Preparation for Appraisals and Excellent Practice in Appraisals

Module 4: The Appraisal Conversation 1. Coaching Skills and Setting Clear Objectives

Module 5: Appraisal Conversation 2: A Mid-Year Review of Progress

Module 6: 3rd Appraisal – Final Assessments, Giving and Receiving Feedback

Module 7: Final Thoughts and Conclusions

Certification

‘BUT WE ONLY HAVE ONE APPRAISAL EACH YEAR’

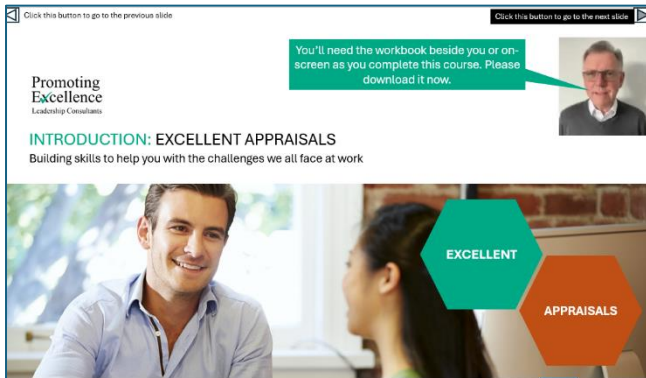
You may notice that our recommendation is to conduct three review meetings each year for each of your staff members. You may, rightly, think that the system adopted by your organisation, school, college, or academy only allows for one formal ‘Performance Appraisal’ each year. The effective leadership and management of staff is an ongoing process and should not be ‘saved up’ for an annual (or even a regular) review meeting. Nonetheless, scheduling three meetings each year - only one of which, usually the third, is the ‘Formal’ appraisal resulting in completed appraisal forms, is excellent practice, as it enables ongoing monitoring of performance and provides both an opportunity for rewarding and/or re-enforcing good practice as well as ‘bringing things back on track’ if they have gone awry, before there is a possibility of them getting out of hand.

For this reason, Promoting Excellence recommends THREE reviews in a year, even where only one of them is the ‘Formal Performance Appraisal’ meeting, and the others are more informal in nature.

Notes: When/how can I schedule 3 meetings per team member, leading up to the third one – the formal Appraisal?

MODULE ONE: WHAT IS APPRAISAL?

Resources Required	–	MODULE ONE Slides - What is Appraisal.pptx (ppsx file)
	–	This Workbook



So, what is appraisal to you?

To clarify – start by recording your definitions below:

1. Write down your definition of Appraisals.
2. Write down your definition of Performance Management.

My notes:

REFLECT:

Consider Rudyard Kipling's 'Serving Men', to assist you in reflecting upon Appraisals and Performance Review in more depth.

"I keep six honest serving-men

(They taught me all I knew);

Their names are What and Why and When

And How and Where and Who."

Rudyard Kipling from 'The Elephant's Child', the 'Just So Stories' (1902)



What is an appraisal and a performance review?

Why do we have them? Why ought we to have them? Is there a difference in your organisation?

When do we have them? When should (and hopefully WILL) we have them going forward?

How do we need to prepare for them – what materials and evidence need I collect and how?

Where will we have them? What resources & rooms?

Who need I consult? Who need I inform? With whom must I check? Who should attend?

PROMOTING EXCELLENCE DEFINITIONS

The next two slides look at our definition of Performance Management, and the two slides following that look at our definition of Appraisals.

Click this button to go to the previous slide

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PERFORMANCE MANAGEMENT IS...

The attempt to maximise the value that employees create...

...to maintain and improve employees' performance in line with an organisation's objectives...

...not a single activity, but a group of practices.

This is how we would define performance management. **Do You agree?**

The CIPD have resources on Performance Management for both members and non-members. Explore their site for more.

PERFORMANCE EVALUATION

Promoting Excellence suggests that Performance Management is the attempt to maximise the value that employees create, to maintain and improve employees' performance in line with an organisation's objectives – it not a single activity, but a group of practices.

Do you agree? How would you amend this if you do not agree?

My Notes:

We see Performance Management as part of a system, bringing together an annual cycle, involving Appraiser and Appraisee.

The Cycle revolves around 4 behaviours:

PLANNING
COACHING
REVIEWING
REWARDING



TASK:

To ensure this workbook is a practical toolkit, jot down below the specific actions you will need to undertake in each of the behaviours:

PLANNING

Deciding and agreeing on Objectives.

Consider what the objectives should be. How do they fit into your team/department/organisation?

How will you establish agreement on what they should be?

My notes:

COACHING

Tracking, monitoring, supporting & providing feedback on performance

How are your coaching skills? Are you confident you can coach well? Ought YOU to be the coach – is there anyone better placed?

How are your feedback skills? Can you feed back without being judgmental? Can you feedback motivationally? Cross refer to other courses if you feel you would benefit from support in these.

My notes:

REVIEWING

Appraising performance & providing feedback

Are you confident about the appraisal procedure? Are you prepared for difficult appraises? What will you do if your data is disputed? What will you do if the appraisee says nothing? What will you do if they want to talk about other people?

My notes:

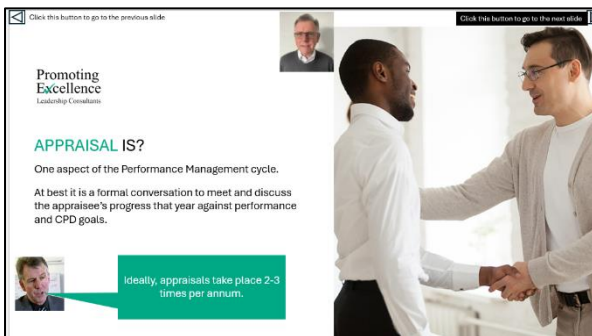
REWARDING

Relating pay to performance. Linking to training, career development & succession planning

Are you sure how these links work in your organisation? Who do you need to consult? What when the pay awards are very small or even zero – how can you reward then? Is a key to effective reward being to know – in the first instance – what motivates your individual staff? Are there any pitfalls here if rewards seem unbalanced?

My notes:

Looking closer at the Appraisal itself:-



At best, appraisal is a formal conversation to meet and discuss the appraisee's progress that year against performance and CPD goals.

Complete the tasks below:

i) Task: Identify the best and worst experiences that you have had as an appraisee.

My notes:

ii) If you had to write a training guide for managers on 'Best practice in appraisals,' what would you include?

My Notes:

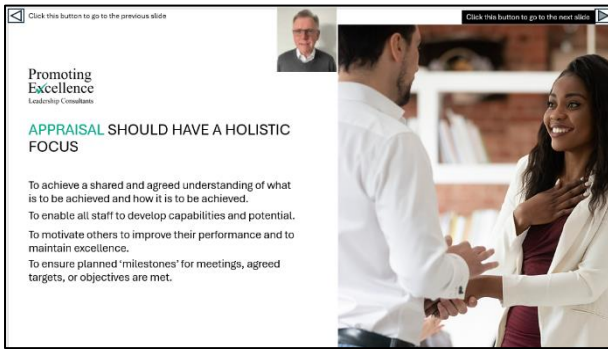
Here are some examples of how good and not-so-good appraisals have felt to Promoting Excellence delegates and clients over the years:

Best	Worst
Made me feel valued	It was a tick-box exercise
Improved my relationship with my line manager	Limiting and very task focused
Helped me to do my job better	My boss did all the talking
Built my confidence and self-esteem	It was all about data
Made me think about my future	Felt top-down and judgemental
Made me realise that I can get help and support	Targets were unrealistic, unachievable and imposed without honest discussion
It was a good opportunity to reflect and talk about potential and skills	"Never had one!"
There were clear links to appropriate training	It was a waste of time, especially the bureaucracy and administration involved
I felt reassured that I was doing a good job	Often postponed and rushed
Felt my appraiser genuinely listened and was interested in me	The CPD I had identified the previous year was ignored
My areas for improvement were evidence based	Appraisals are not seen as a priority and staff are not trained or prepared to undertake them

Is there anything you can add to this?

Any observations or points you want to take and use?

My notes:



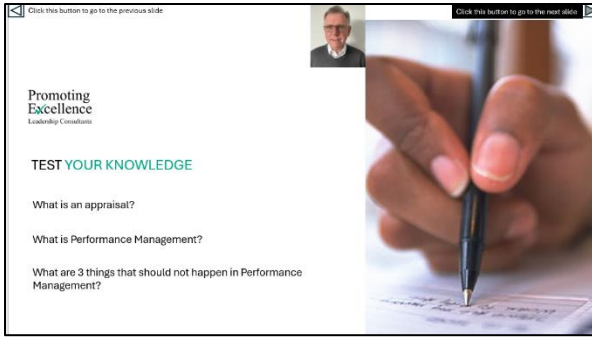
We believe that appraisal should have a holistic focus.

1. To achieve a shared and agreed understanding of what is to be achieved and how it is to be achieved
2. To enable all staff to develop capabilities and potential.
3. To motivate others to improve their performance and to maintain excellence.
4. To ensure planned 'milestones' for meetings, agreed targets, or objectives are met.

Do you agree? What does this imply for your own appraisals?

My Notes:

TEST YOUR KNOWLEDGE:



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Promoting
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Leadership Conversations

TEST YOUR KNOWLEDGE

What is an appraisal?

What is Performance Management?

What are 3 things that should not happen in Performance Management?

What is an appraisal?

My Notes:

What is Performance Management?

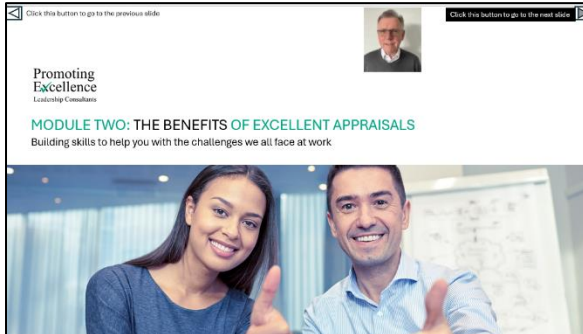
My Notes:

What are 3 things that should not happen in Performance Management?

My Notes:

MODULE TWO: THE BENEFITS OF EXCELLENT APPRAISALS

Resources Required	–	MODULE TWO Slides – The Benefits of Excellent Appraisals.pptx (ppsx file)
	–	This Workbook



An effective performance management and appraisal process will help clarify roles and expectations and how they contribute to organisational goals.

Also, it will ensure that everyone is aware of the support they are entitled to so they can perform well.

TASK:

Reflect on your organisation's processes. Are they:

- Fit for purpose?
- What are the strengths?
- What are the main areas for development?
- Do they help improve performance?

My Notes:

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EXCELLENT APPRAISALS....

Have benefits that can be referred to in terms of motivation and results.

If an individual is motivated, they work hard to improve their skills and so achieve success.

Working conscientiously and knowing that one has done a good job – which is motivational and satisfying.

They have a shared understanding of what is to be achieved and (that they) are supported and developed to achieve goals.



Excellent Appraisals have benefits that can be referred to in terms of motivation and results.

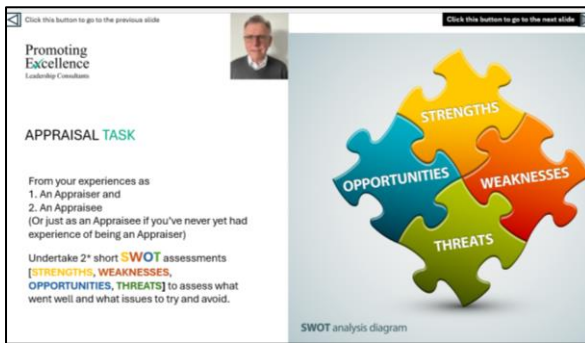
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My Notes:

APPRAISAL TASK



So, from your experiences as

1. An Appraiser and
2. An Appraisee

(Or just as an Appraisee if you've never yet had experience of being an Appraiser)

Undertake 2* short SWOT assessments – or just the first one if you haven't ever been an Appraiser.

[STRENGTHS, WEAKNESSES, OPPORTUNITIES, THREATS] to assess what went well and what issues to try and avoid.



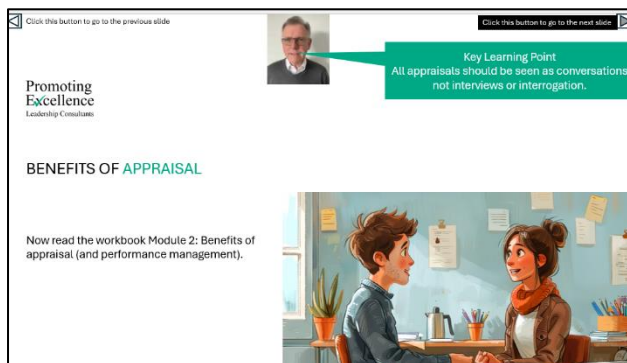
SWOT ANALYSIS 1. APPRAISER

Strengths	Weaknesses
Opportunities	Threats

SWOT ANALYSIS 2. APPRAISEE

Strengths	Weaknesses
Opportunities	Threats

BENEFITS OF APPRAISAL



Please read the information below

Module 2: Benefits of appraisal (and performance management)

Benefits for individuals	Benefits for managers	Benefits for the organisation
You are directly involved in contributing to and agreeing your development plan.	Your team are clear about their contribution to the agreed goals.	Resources are focused on the things that matter.
You can take responsibility for your own performance and development.	Individuals and the team are clear about their priorities and can focus effort on the right activities.	Everyone knows how they contribute to the organisation.
You know what is expected of you and how well you are doing.	You can make best use of individuals' skills and experience and identify development needs and build on their strengths.	The organisation can measure progress towards goals.
You will receive relevant feedback of your performance,	You know how your team is performing and can recognise their achievements.	The organisation is constantly learning and growing and is better able to respond to challenges.
You can discuss your individual needs and help to develop solutions.	You know if an individual is not achieving what they should be and can take appropriate action.	The organisation's ability to achieve its goals is improved.
You get support to develop your skills.	Relationships with your team can be strengthened.	It will support talent management and succession planning.
Any problems can be discussed, recognised and addressed.	You will have opportunities to learn from your colleagues and develop new ideas and approaches.	Problems can be high-lighted, and solutions discussed.
You get recognition for your achievements and the way you work.	Managers are judged on the performance of their team – they share in 'reflected glory.'	Enhanced communication and relationships.
You get more job satisfaction and feel better motivated.	Managers benefit from your increased motivation in reduced turnover and better results.	Provides an effective basis for a training needs analysis.
You can contribute to discussion about future training and development needs.	The workplace and its tasks become better done and results improve.	The organisation has an increased range of feedbacks to use for improvement. Products and services get better.

Are there any other benefits you can think of?

Benefits for individuals	Benefits for managers	Benefits for the organisation

TEST YOUR KNOWLEDGE

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TEST YOUR KNOWLEDGE

What are 2 benefits of appraisals?

i) for individuals.

ii) for managers.

iii) for organisations.



What are 2 benefits of appraisals?

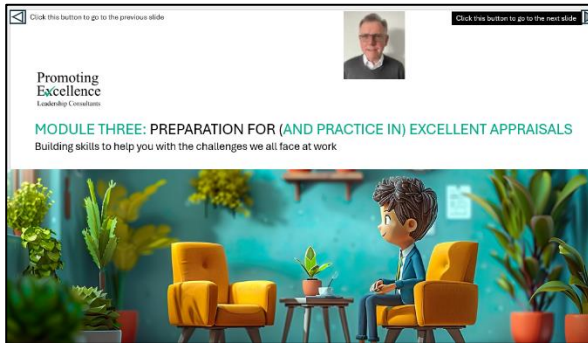
i) for individuals.

ii) for managers.

iii) for organisations.

MODULE THREE: PREPARATION FOR (AND PRACTICE IN) EXCELLENT APPRAISALS

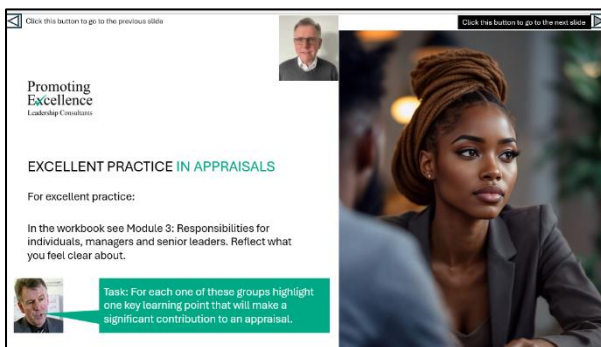
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| Resources Required | – | MODULE THREE Slides – Preparation for and Excellent Practice in Appraisals.pptx (ppsx file) |
| | – | This Workbook |



For there to be excellent practice in appraisals, appraisal must involve everyone in the organisation, everyone needs to be clear about their part, appraisal must be seen as a priority for good leadership and management. And it must come 'from the top'.

When done in this way, it is a critical factor (for successful organisations).

TASK



Task: For each one of the 3 groups on the next page (individuals, managers and senior managers) highlight or add one key learning point that you feel will make a significant contribution – in your organisation - to an excellent appraisal

Module 3: Responsibilities for individuals, managers and the senior leaders in Appraisals and Performance Management.

The table below illustrates the responsibilities for individuals, managers and the senior leaders.

Individual's responsibilities	Manager responsibilities	Senior Leadership responsibilities
Take an active part in drawing up and agreeing your performance and development plan	Get to know your staff and individuals and invest time in developing them	Agree with your managers the links between organisational, team and individual objectives
Take responsibility for your performance and development on a day-to-day basis	Make sure you take account of equality and diversity issues when managing the performance of individuals	Make sure that your managers apply PM consistently and fairly, balancing organisational and individual needs
Take an active part in reviewing your progress, including getting feedback, coaching and support as necessary	Make sure all individuals have a completed performance and development plan in which they have taken an active part	Support your managers in the PM system throughout the year. Be approachable and helpful
Make sure regular progress discussions take place with your manager	Support individuals by providing feedback, coaching and suitable resources	Comment on the overall performance assessments at the end of the year for your manager's team members
Try not to take constructive criticism and feedback too personally	Have regular progress discussions with individuals	Help managers and individuals reach an agreement if there is a disagreement related to PM
Be open and willing to learn	Assess individuals' overall performance, based on evidence in their performance	
Key Learning Point (either from the above – and WHY, or a new Learning Point you wish to add.)		

EXCELLENT PRACTICE: THE PROMOTING EXCELLENCE

FOUR STEP CYCLE



Promoting Excellence recommends that

there are four steps to Excellent Practice:

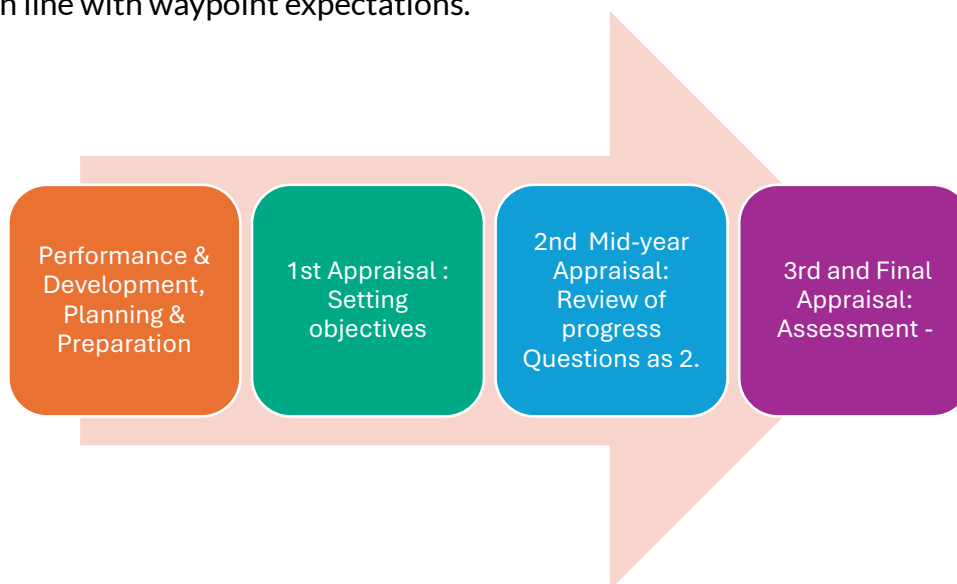
STAGE ONE: Performance & Development, Planning & Preparation

STAGE TWO: First Appraisal: Setting objectives.

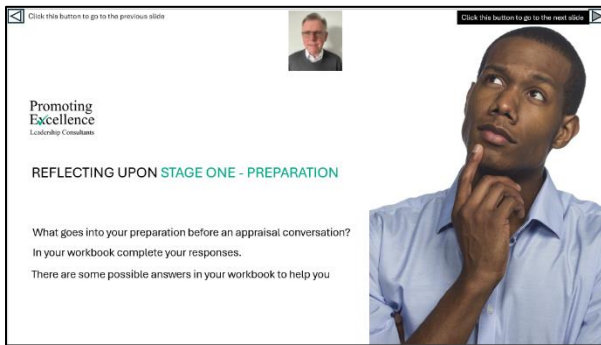
STAGE THREE: Mid-year Appraisal: Review of progress Questions as 2.

STAGE FOUR: Third and Final Appraisal:

Assessment. It doesn't imply that there are four formal appraisals. Most organisations will just have one each year. The others are normally informal discussions giving the opportunity for corrections 'mid-flight', tweaks to objectives, encouragement, re-enforcement, or support and coaching to bring things back in line with waypoint expectations.



REFLECTING UPON PREPARATION



What goes into your preparation before an appraisal conversation?

We have provided some suggestions on the next page.

My Notes:

Some ideas include:

- Staff undertake a critical self-reflection of performance in their role in relation to the previous targets set and to review areas of potential development.
- This should be completed prior to the first conversation meeting as the contents of this will form part of the meeting.
- You **must** ensure this is acceptable to your HR department, your Senior Leadership, and your Organisation's legal advisors before using – Promoting Excellence Ltd and the creators of this workbook will accept no responsibility for the use of these questions. Not all organisations share a culture, and some may regard some questions as more, or less, acceptable to them. Check before using – always. And cultures can change – so re-check periodically.

Performance
In meeting your performance objectives
What were your major accomplishments in meeting your performance objectives?
Did anything go wrong that you needed to address? If yes, what was it and how did you resolve it?
What do you feel you have gained from meeting these objectives?
How do you think you can improve on these objectives for next year?
In not meeting your objectives
Why were the objectives(s) not achieved? Were there any unforeseen circumstances preventing you in meeting the set objective(s)?
What do you need to do to ensure an improvement in your performance?
In identifying new goals or objectives
What do you consider are the priorities for the next 12 months? And why?
Are there any particular goals you would like to achieve?
How do these goals/objectives support either the school improvement plans or strategic direction/operational needs of your department?
What challenges or barriers you think you may experience in achieving this objective?
General
Are there any changes required to your job description and person specification you wish to discuss with your line manager?
Themed Conversation Questions
The following questions have been developed to support the different “themes” of conversation that may take place between you and your line manager.
Successes and Achievements – it's always good to celebrate our successes
What have you been particularly proud of this past year?
What do you consider was your biggest achievement?
If part of a team, what was the achievement you were most proud of in being part of this team?
Professional Development
What do you need to improve at this current moment?
What areas in your performance would you wish to grow?
Are there any aspects of your role you want to develop further?
What would make the next 12 months a success for you?
Career Aspirations (careers paths are becoming portfolio in nature, you may not necessarily want to progress in a traditional upwards manner)
Do you have any current plans for your career?
Do you have any future plans for your career?

What steps have you taken towards this plan/goal?
If you're unsure of your plans, if you could think what the perfect job for you would look like, then describe this?
Are there any areas you want to gain experience in that will support your career plans? These do not have to be in your current role
Do you have any plans to gain experience in another role, school, or sector?
Wellbeing and Engagement
How are you feeling presently, and how does that compare with the recent past for you – are things improving or do you feel they are not?
What are you doing to look after your wellbeing? Is there anything else you (or we) could do?
Is there anything holding you back from looking after your own wellbeing and health?
What do you do that brings you happiness and fulfilment?
Who do you have to provide support, if and when you need it?
Do you feel engaged and motivated at work?
What could reasonably change to improve things for you?

EXTRA GENERAL ADVICE:

Ensure there is an agreement to where, when and how long the appraisal conversation will be.

Ensure you have the documentation (and evidence – results, data, e-mails, letters etc) required.

Begin with a clarification and agreement as to how the conversation will be conducted, e.g. with an agenda, notes recorded, next steps etc.

The employee should be informed that they should bring any appropriate evidence to the meeting to support achievement of performance targets – if required.

The line manager will need to be familiar with any the previous performance review documentation including any agree performance criteria, job description, person specification, and any other relevant documents such as teacher observations prior to the meeting.

Before the meeting the line manager will need to reflect on:

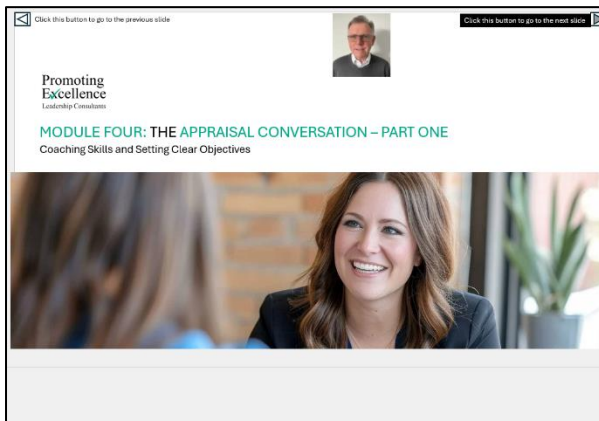
1. The work the individual has been involved in and how they have responded.
2. Any possible development needs for the individual.
3. How well the employee meets the relevant objectives in the way that the job is performed i.e. improvement action plans.
4. Consider what the key priorities will be for the next review with respects to future demands and service plans, milestones and deadlines.
5. Plan how to tackle any performance concerns or issues ALWAYS in a constructive manner. You will need to consider if these concerns need to be addressed under the guidance of your HR team.
6. Are any changes required to the job description and person specification.

MODULE FOUR: THE APPRAISAL CONVERSATION PART 1:

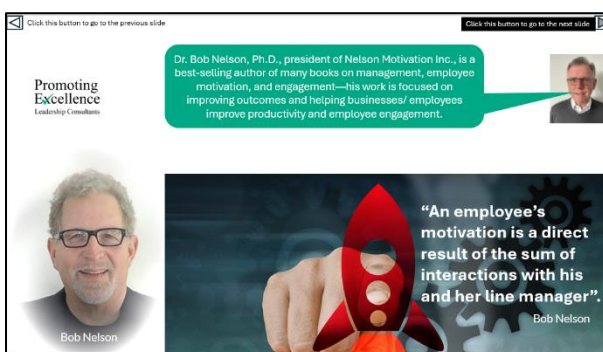
COACHING SKILLS AND SETTING OBJECTIVES.

Resources Required – MODULE FOUR Slides – The Appraisal Conversation – Part One.pptx (ppsx file)

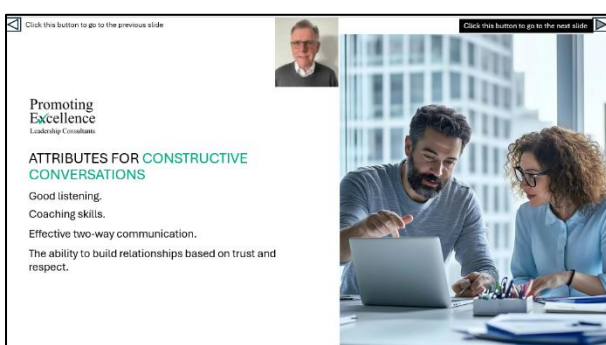
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The fourth module is about coaching skills and setting objectives. The proper setting of objectives is essential, if a progress review or performance review is to be useful and meaningful.



Promoting Excellence's research shows there are FOUR attributes that are essential for constructive conversations:



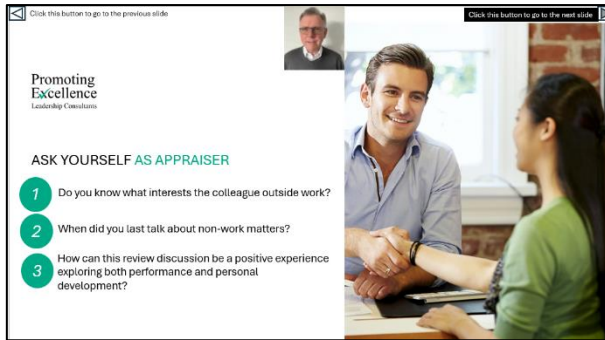
Good Listening

Coaching Skills

Effective two-way conversations

The ability to build relationships based on trust and respect.

ASK YOURSELF AS APPRAISER:



TOP TIP

Remember that if you make notes on these, they **MUST** be kept confidential, and in locked-access, in the same way as you would keep any personnel-related information.

Do you know what interests the colleague outside work?

When did you last talk about non-work matters?

How can this review discussion be a positive experience exploring both performance and personal development?

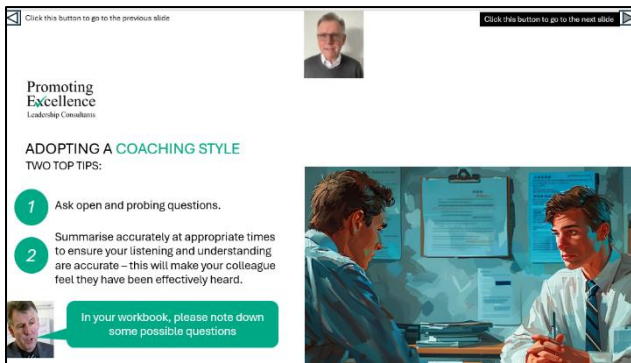
The reviewer – you – is advised to conduct the review meeting using a Coaching style.

TASK:

Reflect on how you might further develop your empathy and interpersonal awareness and think how would you answer the questions on the slide

My Notes:

ADOPTING A COACHING STYLE



Ask open and probing questions.

Summarise accurately at appropriate times to ensure your listening and understanding are accurate – this will make your colleague feel they have been effectively heard.

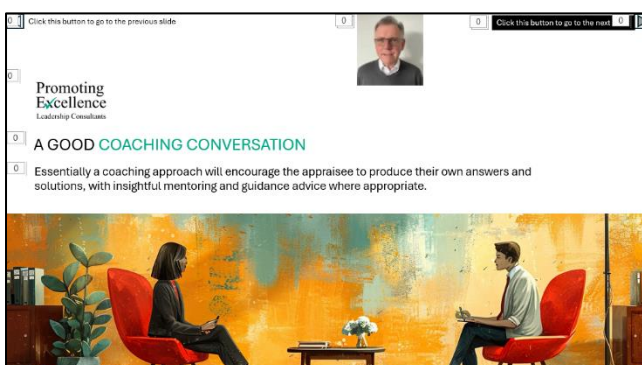
Refer to page 7 of this workbook for the exercise on Rudyard Kipling's six serving men.

Possible questions to include:

1. What have you achieved this year?
2. What is still to do – that you wanted to do?
3. What are your goals/objectives for next year?
4. What kind of support and training do you need?

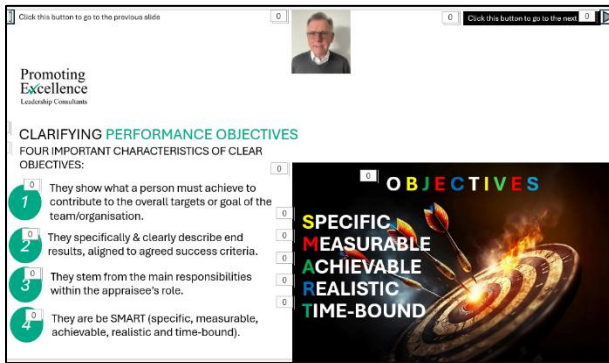
TASK

What other questions would YOU add?



Essentially a coaching approach will encourage the appraisee to produce their own answers and solutions, with insightful mentoring and guidance advice where appropriate.

SETTING SMART OBJECTIVES



This section presents four characteristics of Clear Objectives, developed by Promoting Excellence over the last 20 years. It also discusses how objectives must be SMART

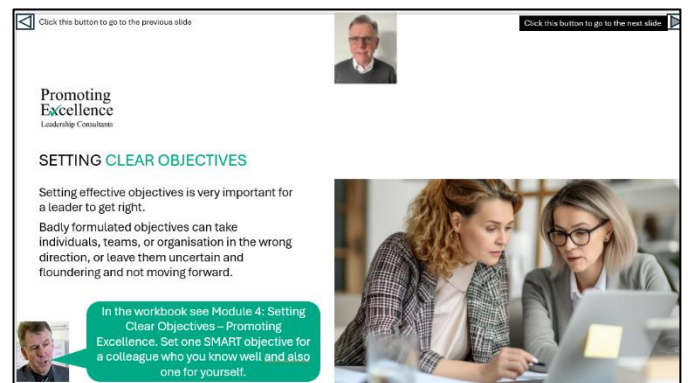
Specific

Measurable

Achievable

Realistic – or Relevant (Both, in fact) and

Timed.



TASK 1:

Please read the information below and then set one SMART objective for a colleague who you know well and also one for yourself.

The effective setting of objectives is very important for a leader to get right. Getting it wrong will lead to confusion.

1. When setting objectives, think about the individual. What is right for them in line with the organisation?
2. Clarify the difference between objectives and aims. Objectives are your action plan and a basis for success criteria so must be able to be measured. Aims are related to a vision or aspiration.
3. Evidence is key for the outcome to be measurable.
4. Set realistic and honest achievable goals.
5. Check objectively whether there is appropriate support, resources, time and opportunity to achieve the goals set
6. Ensure the appraisee understands and agrees with the objectives given

See the two examples below that illustrate the points being made about objective goal setting. The first example is for a marketing role and the second is for a teacher:

Examples:

Main responsibility	Performance objective	Tasks
To provide administrative support to the marketing team	To organise the administration and facilities for the marketing team's planning day which will take place on January 31 st	• Agree and book the venue • Identify who will host the day • Find out if the people coming have any special needs • Prepare the agenda • Issue joining notes

Main responsibility	Performance objective	Tasks
- Teacher – fairly new Background: You see there is low level disruption in the lesson of a fairly new teacher. You discuss how things are going at your regular meeting and include ideas for classroom management. After 2 weeks you notice several individuals are not on task and they are encouraging others to chat rather than complete their work. Things seem to be getting worse rather than better!	To ensure that all students are on task at the next informal lesson visit on X (date & time) and achieving to their expected (or above) standard shown via the online assessment record by X (date & time).	❖ Complete 2 peer observations with 'X' within the next 2 weeks to see their classroom management techniques. ❖ Establish clear rules for classroom behaviour with pupils linked to School/College policy by the end of the week ❖ Show student assessments ❖ Show lesson plans for next week to line manager to ensure these provide stretch and challenge. ❖ Informal lesson observation by HoS

So, now set one SMART objective for a colleague who you know well and also one for yourself.

For a Colleague I know well:

For myself:

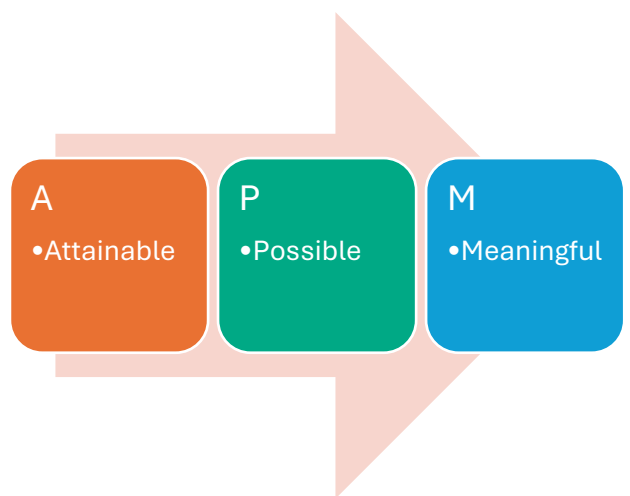
TASK 2:

Check the above objectives you set for a colleague and yourself are SMART by referring to the A P M Guide for Objective Setting

After completing the task - ask yourself:

A. IS THE OBJECTIVE ATTAINABLE?

- How difficult is it to reach?
- Should it be broken down into smaller tasks?
- What skills do you need?
- Have you got the right resources?



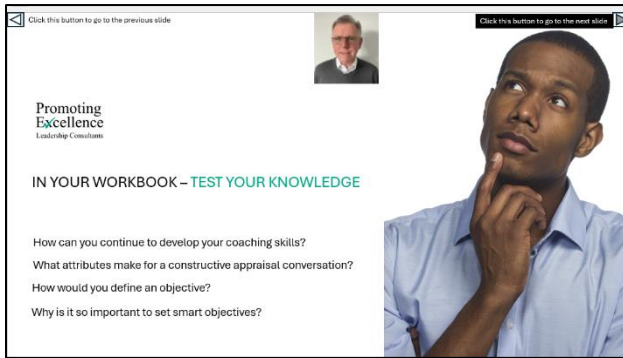
P. IS THE OBJECTIVE POSSIBLE?

- Do you have the necessary expertise?
- Do you have enough time to plan, implement and assess the goal?
- Does the goal fit with your personal values and organisational culture?

M. IS THE OBJECTIVE MEANINGFUL?

- Will achieving the goal benefit you, your team and the organisation?
- Is the goal based on evidence-based research?
- What will be the main impact?

TEST YOUR KNOWLEDGE



How can you continue to develop your coaching skills?

What attributes make for a constructive appraisal conversation?

How would you define an objective?

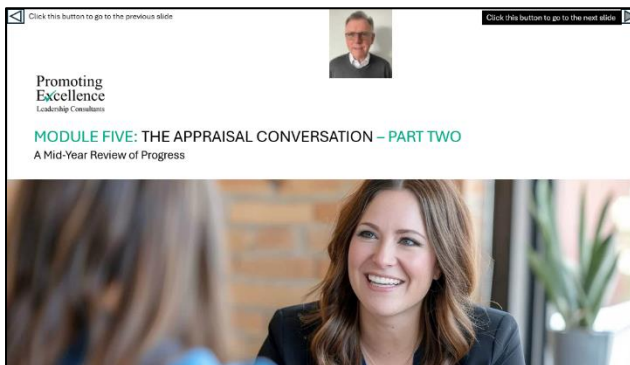
Why is it so important to set smart objectives?

My Notes:

MODULE FIVE: THE APPRAISAL CONVERSATION PART 2:

A MID-YEAR REVIEW OF PROGRESS.

- | | | |
|--------------------|---|---|
| Resources Required | – | MODULE FIVE Slides – The Appraisal Conversation – Part Two.pptx (ppsx file) |
| | – | This Workbook |



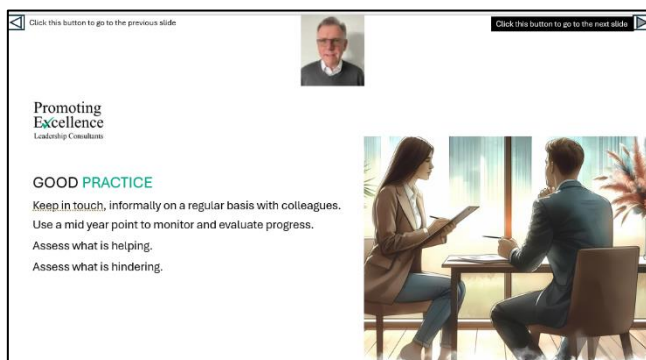
Good practice for your mid-year review of progress (remember mid-year is important because it allows for tactical changes to be made if things are not going well, support, coaching and training to be provided before deadlines are finalised and it keeps objectives relevant -if needs change) would be:

Keep in touch, informally on a regular basis with colleagues

Use a mid year point to monitor and evaluate progress

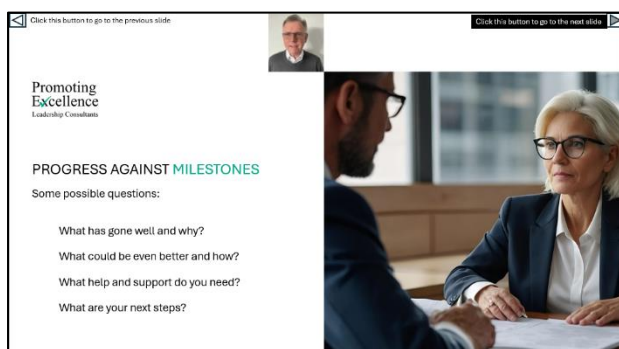
Assess what is helping.

Assess what may be hindering.



Task:

Record from your experiences what is helpful, or what would be helpful, for appraisal two - the mid-year review.



It is best practice in preparation for Appraisal Two – The Mid-Year Review to ask the person you will be reviewing for their short summary of the objectives agreed at the start of the process, annotated with what progress has been made / milestones reached. Remember that this review can be relatively informal and will not usually form any link to pay or the recorded ‘Annual Appraisal’ process – except as evidence for progress made during the year when you do gather evidence for the final, formal appraisal meeting of the year – usually conducted annually and in line with your Organisation’s policies. Again remember to store any records or data from the second appraisal meeting in a private, safe, locked place, that is not accessible without authority.

You should also, of course agree a date for the review, and ensure there is a quiet and private venue for the meeting.

Some possible questions would then include:

1. What has gone well and why?
2. What could be even better – and how could that be facilitated?
3. What help and support do you need?
4. What are your next steps?

Take the opportunity again to explain how the objectives fit in to those of your department, or team, and how the objectives of the team or department contribute to the goals and vision of the organisation.

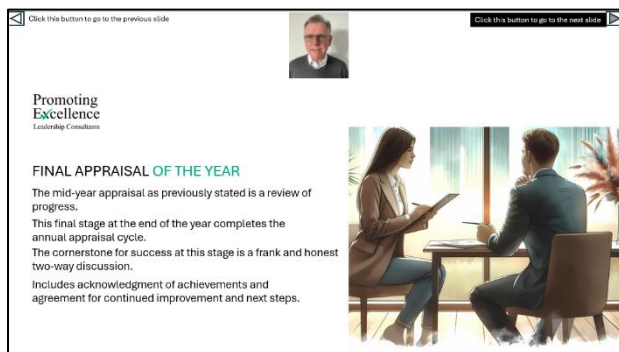
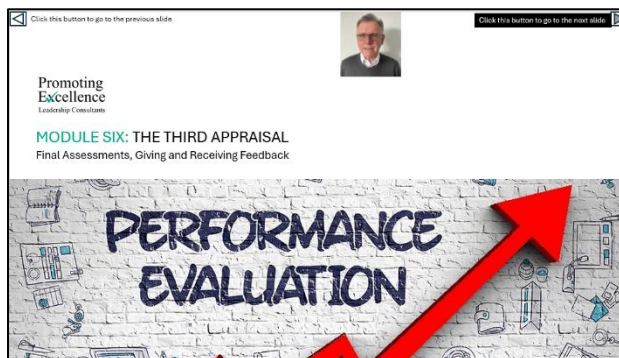
This gives context and answers a common complaint that staff may have – ‘how do I fit in?’ and ‘I can’t see the relevance of what I do.’

If any amendments are needed to objectives and goals, ensure these are SMART, and apply the A.P.M. process to them to review their likely effectiveness before agreeing them.

MODULE SIX: THE THIRD APPRAISAL

FINAL ASSESSMENTS, GIVING AND RECEIVING FEEDBACK

Resources Required	–	MODULE SIX Slides – The Third Appraisal.pptx (ppsx file)
	–	This Workbook



The mid-year appraisal as previously stated is a review of progress. This final stage at the end of the year completes the annual appraisal cycle. The cornerstone for success at this stage is a frank and honest two-way discussion, that includes an acknowledgment of achievements and gives agreement for continued improvement and next steps.

GIVING AND RECEIVING FEEDBACK

Click this button to go to the previous slide

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GIVING AND RECEIVING FEEDBACK

This is particularly critical at this stage so there is clarity and consensus around the final assessment.

"Feedback is the breakfast of champions." Ken Blanchard

KEN BLANCHARD

Performance Appraisal

Click this button to go to the next slide

This is particularly critical at this stage so there is clarity and consensus around the final assessment.

Click this button to go to the previous slide

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GIVING FEEDBACK – SOME TIPS

Make sure when giving any feedback that it is evidence-based.
It needs to be very specific and linked to an event or a particular situation.
Identify any strengths or positive points – not just negatives

Remember to be balanced. Often appraisers focus inordinately on the latest events ('recency' effect) or allow a single good (or bad) event to dominate (the 'halo' or 'horns' effect).

feed
BACK

evidence-based
Identify strengths
be balanced
specific
Identify areas for development
Avoid:
recency effect
Halo effect
Horns effect

Click this button to go to the next slide

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RECEIVING FEEDBACK – SOME TIPS

Often more difficult than giving feedback!
Being open and able to hear and respond to constructive feedback is critical for improvement and personal development.
Avoid being defensive.
Don't take it too personally if it is difficult to hear.

feed
BACK

Be open
Listen actively
Don't be defensive
Don't take things personally
Ask open questions to check your understanding

In addition, in the workbook add your advice on giving and receiving feedback

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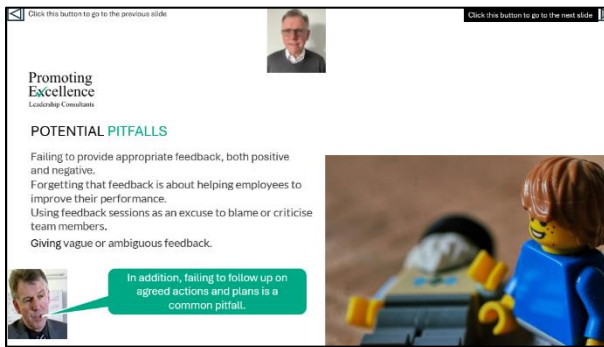
Task: Giving Feedback

From your experience what advice would you consider helpful?

Task: Receiving Feedback

From your experience what advice would you consider helpful?

POTENTIAL PITFALLS



Potential Pitfalls is a key slide because it highlights possible dangers that can result from poor feedback – or not feeding back at all.

When giving feedback,

- Focus on behaviour that – if possible – you have observed “I saw you doing...”
- Describe what you see happening “I notice that...”
- Don’t sit in judgement
- Share ideas “What if you tried...?”
- Explore alternatives “How could you...?” “What other ways...?”
- Suggest they do “more of...” and “less of...”
- Give positive feedback as well as negative feedback (but never – if at all possible - give positive feedback before negative)

Some useful suggestions:

- Provide plenty of reassurance and appropriate praise
- Take care not to demotivate people or revert to telling them how to do things
- Put yourself in their shoes and try to appreciate what they might be feeling, and the difficulties they might be having
- Once they have the feedback – if you can, let them have another go...

Up to 93% of what we communicate is not in the content but in our tone and gestures. The impact of this non-verbal communication (also called, 'silent speech' or 'body language'), has often been ignored or understated. Three reasons have been offered for this.

- First, although these types of messages exert a great deal of influence on how we think and behave, they act subconsciously upon us and typically go unnoticed.
- Second, silent speech communicates enormous amounts of information, which means that it is difficult to both recognize explicitly and to control. It is for this reason that when our words and our body language contradict each other, others will believe the body language.
- Finally, despite being our predominant or sole mode of communication up to the age of three years, non-verbal communication, after that time is lost under the weight of words, even though we remain extremely sensitive to its influence subconsciously.

If people aren't going to like the information you give them, they're very likely to stop listening. We find it hard to listen to things we disagree with - so get people nodding, put good news first!

WHAT IF THERE'S NO IMPROVEMENT FROM YOUR APPRAISEE?

Suppose you've had performance reviews on an issue, but there's still no change in performance.

What to do:

- Get agreement that improvement is still needed
- Look at reasons why improvement has not taken place
- Go over those reasons step-by-step and try to solve each one practically

What not to do:

- Ignore the previous sessions as though they had not happened
- Get angry at the appraisee
- Walk away from the role in frustration

WHAT IF THE APPRAISEE IS STUCK LOOKING BACKWARDS (HARPING)?

Suppose the appraisee is bogged down with past history, harping on previous staff and mistakes they (or themselves) have made

What to do:

- Identify the lessons within the occurrences mentioned
- Link the lessons from the past with the present and the future (“Those who forget history are condemned to repeat it”: Napoleon)
- Every time a reference is made to the past, remind the coachee that we are talking about the future – ask how things can be different NOW.

What not to do:

- Totally ignore the past and the lessons learned
- Swap stories about the past experiences – going down ‘Memory Lane’
- Come to no conclusion about the future, as a result of the performance review session

ACTIVE LISTENING SKILLS

ACTIVE VS PASSIVE LISTENING

Effective listening is active, rather than passive. In passive listening, you are like a recorder, but not nearly as accurate. You try to absorb as much of the information presented as possible. Even if the speaker gives you a clear message and makes delivery interesting enough to keep your attention, your comprehension of a speaker’s message two or more days later will be incomplete and usually inaccurate .

Active listening requires you to empathise with the speaker, to attempt to understand the communication from their point of view. As you will see, active listening is hard work. You have to concentrate, and you have to want to fully understand what the speaker is saying. Using active listening will result in you feeling almost as tired as the speaker because of the effort.

There are 4 essential requirements to active listening:

1. You need to listen with intensity
2. You need to listen with empathy
3. You need to listen with acceptance
4. You need to listen with a willingness to take responsibility for completeness

INTENSITY

Our brains are capable of handling a speaking rate of about four times the speed of the average speaker. That leaves a lot of time for your mind to wander while listening! The active listener concentrates intensely on what the speaker is saying and tunes out the thousands of miscellaneous thoughts that create distractions. What do active listeners do with their idle-brain-time? They put each new bit of information into the context of what has preceded it.

EMPATHY

This requires you to put yourself in the speaker's shoes. You try to understand what the speaker wants to communicate, rather than what you want to understand. Empathy demands some knowledge of the speaker and flexibility on your part. You need to suspend your own thoughts and feelings and adjust what you see and feel to your speaker's world. In that way, you increase the likelihood that you will interpret the message being spoken in the way the speaker intended.

ACCEPTANCE

Active speakers demonstrate acceptance. They listen objectively, without judging content. This is no easy task. It is natural to be distracted by what a speaker says, especially when we disagree with it. When we hear something we disagree with, we begin formulating our mental arguments to counter what is being said. In doing so, we miss the rest of the message. The challenge for the active listener is to absorb what is being said and withhold judgement on content until the speaker has finished.

RESPONSIBILITY FOR COMPLETENESS

The listener does whatever is necessary to get the full, intended meaning from the speaker's communication. Two widely-used active listening techniques to achieve this end are listening for feelings as well as for content and asking questions to check for understanding. Active listeners listen with ears, eyes and minds. They verify for completeness with questions.

WHAT WE KNOW ABOUT ACTIVE LISTENING

The active listening model forms the foundation to help you be an effective listener. In this section, we'll summarise 14 specific characteristics used by effective listeners. Some are behaviours you can

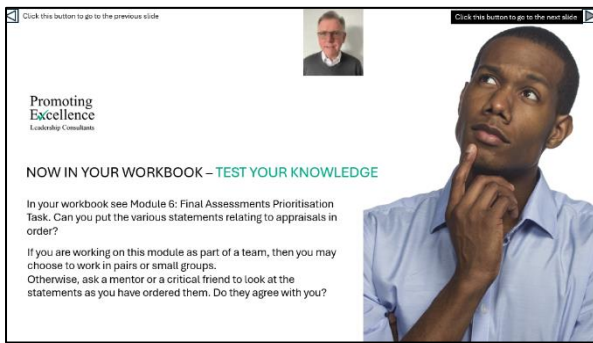
observe directly – such as asking questions. Others, such as listening without judgement, are cognitive processes that can only be evaluated indirectly. As you review these 14 characteristics, ask yourself whether each represents an observable behaviour. For those that don't, try to determine what you might look for that could tell you indirectly if someone is using the technique.

1. Be motivated: If a listener is unwilling to exert the effort to hear and understand, no amount of additional advice is going to improve listening effectiveness. As noted previously, active listening is hard work. Your first step toward becoming an effective listener is a willingness to make the effort.
2. Make eye contact: How do you feel when someone doesn't look at you when you're speaking? If you're like most people, you are likely to interpret this as aloofness or disinterest. It's ironic that 'while you listen with your ears, people judge whether you are listening by looking at your eyes'. Making eye contact with the speaker focuses your attention, reduces the likelihood that you become distracted, and encourages the speaker.
3. Show interest: The effective listener shows interest in what is being said. How? Through non-verbal signals. Affirmative head-nods and appropriate facial expressions, when added to good eye-contact, convey to the speaker you're listening.
4. Avoid distracting actions: The other side of showing interest is avoiding actions which suggest your mind is somewhere else. When listening, don't look at your watch, shuffle papers, play with your pencil, or engage in similar distractions. They make the speaker feel you are bored or disinterested. More importantly, they indicate you aren't fully attentive and might be missing part of the message the speaker wants to convey.
5. Empathy: Don't project your needs and intentions into the speaker. When you do so, you're likely to hear what you want to hear. Say to yourself "Who is this speaker and what is he/she saying? What are his/her attitudes, interests, experiences, needs, expectations?"
6. Take in the whole picture: The effective listener interprets feelings and emotions, as well as factual content. If you listen to words alone and ignore non-verbal and vocal cues, you'll miss a wealth of subtle messages. To test this point, read the script of a play – then see it in a theatre. The characters and the message take on a much richer meaning when you see the play acted out on stage.
7. Ask questions: Critical listeners analyse what they hear and ask questions. This provides clarification, ensures understanding and assures the speaker that you are listening.
8. Paraphrase: Restate what you have heard in your own words "Do you mean...?". Why rephrase what has already been said? There are two reasons: firstly it's a control device to check you are listening carefully – you can't paraphrase accurately if your mind is

wandering. Second, it's a control for accuracy – you verify the accuracy of your understanding.

9. Don't interrupt: Let speakers complete their thoughts before you try to respond. Don't try to second-guess where the speaker's thoughts are going. When the speaker is finished, you'll know it.
10. Integrate what is being said: Use the time to better understand the speaker's ideas. Put the pieces together, rather than treating each new piece of information as a separate entity.
11. Don't over-talk: Most people would rather speak their own ideas rather than listen to what someone else says. Too many of us listen only because it is the price we have to pay to get people to let us talk. Talking may be more fun, and silence may be uncomfortable, but you can't talk and listen at the same time. The good listener recognises this and doesn't over talk.
12. Confront your biases: Evaluate the source of the message. Notice things such as the speaker's credibility, appearance, vocabulary and speech mannerisms. But don't let them distract you. We all have 'red flag' words – don't let the use of them (or the absence of them) distort the message.
13. Make smooth transitions between speaker and listener: In work you constantly shift between the roles of listener and speaker – it's not like being a student. This means concentrating on what a speaker has to say and practicing not thinking about what you're going to say as soon as you get your chance!
14. Be natural: An effective listener has a natural listening style – don't exaggerate the eye contact, the expressions or the asking of questions. A good listener is not a manipulator.

SUMMARISING AND PRIORITISING WHAT TO DO IN AND FOR AN APPRAISAL



Having reached this stage in the course can you correctly identify the sequence and relative importance of the processes and actions needed for successful appraisal? Try to evaluate the list below into an order that will work well for you.

1. Discuss and agree objectives and targets and how these will be assessed
2. Take time at the start of the interview to relax the employee and establish rapport
3. Explain the purpose and scope of the interview and what the intended outcomes are
4. Discuss aspects of good performance first
5. Clarify the main duties of the employee's job and his or her area of responsibility
6. Give the employee the opportunity to discuss their career aspirations and aims by asking the employee where they would like to see themselves in the short, medium & long term. Take care not to raise false hopes or make promises that perhaps cannot be kept
7. Discuss how far agreed targets have been met
8. Share any plans that the employer has which may affect the employee's work and their aims
9. Before providing feedback, encourage the employee to put forward his or her views about performance
10. Recap on the objectives and targets that were set for the year
11. Refrain from assuming that an older employee may retire in the near future
12. End the interview on a positive note
13. Summarise the action points that have been agreed
14. Summarise what has been discussed
15. Give sincere praise for good performance with examples and place particular emphasis on outstanding ones
16. Discuss any instance of poor or below-average performance and the likely cause. Use specific examples and ensure that the discussion is frank and considers the problem areas in detail
17. Discuss and agree any action that the employee needs to take to improve performance
18. Discuss and agree any training and development that would benefit the employee in the coming year
19. Explore any constraints that may have prevented performance to maximum capacity and their causes
20. Remind the employee of the overall objective of appraisal, i.e. intention to assist the employee to maximise their job performance, both for the employee's benefit and for that of the organisation as a whole

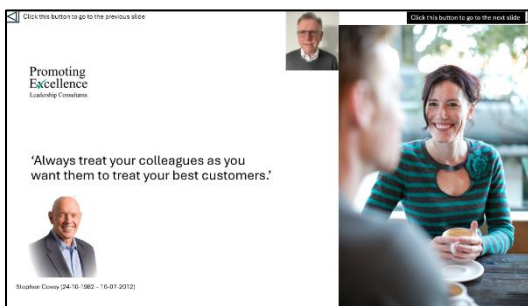
My Notes:

My Sequence Order		My Rating Of Importance
1		
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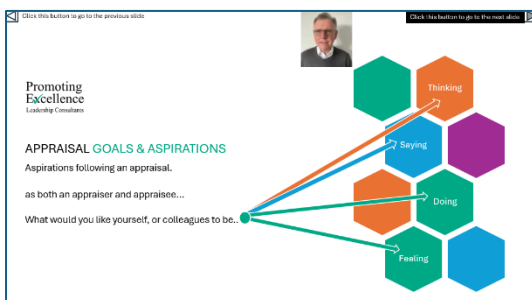
At the end of the task, you may wish to share this order and importance rating with a senior colleague to ensure it fits with your organisation's Performance Management Cycle.

MODULE SEVEN: FINAL THOUGHTS AND CONCLUSIONS

- Resources Required
- MODULE SEVEN Slides – Final Thoughts and Conclusions.pptx (ppsx file)
 - This Workbook



APPRAISAL GOALS & ASPIRATIONS



As appraiser, or as appraisee, a good way to think about an appraisal is in terms of the outcomes you desire.

After the appraisal, what would you like your appraisee to be

Thinking?

Saying?

Doing?

Feeling?

TASK:

Record your 4 aspirations either as an appraiser or as an appraisee following the Performance Management and Appraisal process:

What would I like the appraisee to be saying? (As a result of the process)

What would I like to be saying? (As a result of the process)

What would I like the appraisee to be doing? (As a result of the process)

What would I like to be doing? (As a result of the process)

What would I like the appraisee to be thinking? (As a result of the process)

What would I like to be thinking? (As a result of the process)

What would I like the appraisee to be feeling? (As a result of the process)

What would I like to be feeling? (As a result of the process)

There are some suggestions on the next slide, and the next page

Some suggestions are shown on the slide and below:

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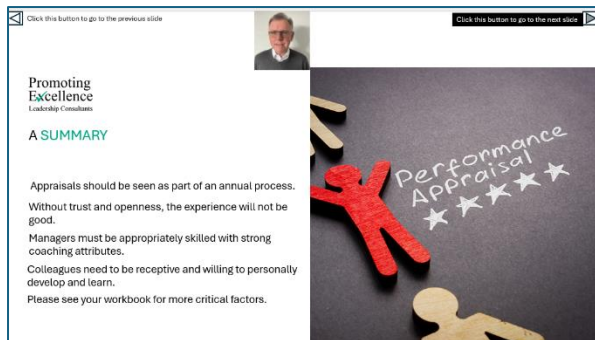
APPRAISAL GOALS & ASPIRATIONS

See your workbook for the task relating to positive outcomes.

Saying	Doing	Thinking	Feeling
"That experience made me feel valued."	Encouraging colleagues to positively embrace the appraisal process.	The process improved my relationship with my line-manager.	Motivated and listened to.

- Saying : "That experience made me feel valued."
- Doing : Encouraging colleagues to positively embrace the appraisal process.
- Thinking : The process improved my relationship with my line-manager.
- Feeling : Motivated and listened to.

A SUMMARY



1. Appraisals should be seen as part of an annual process.
2. Without trust and openness, the experience will not be good.
3. Managers must be appropriately skilled with strong coaching attributes.
4. Colleagues need to be receptive and willing to personally develop and learn.

The Chartered Institute of Personnel and Development in the UK has suggested a few more factors critical for the success of Performance Reviews:

1. A culture of trust and openness
2. Managers who are appropriately skilled
3. Managers who can ask good questions and show active listening
4. Employees who are receptive, prepared to align their personal growth with strategic objectives and willing to learn, and take responsibility for their own performance

They add that constructive appraisals have:

1. A clear purpose
2. A recognition of achievements
3. Genuine two-way conversation and reflection
4. Agreed action plans
5. Regular review and evaluation

TEST YOUR KNOWLEDGE

Assess your learning by answering the following questions:

1. What have you learned?
2. What changes will you make as a result of this course?
3. What has been the impact for you and your organisation?

WELL DONE – YOU CAN DOWNLOAD YOUR CERTIFICATE

Having completed the course, you are now eligible for the certificate. The download link is onscreen, on this slide and the final title slide. You can download your certificate at any time now, you have reached this point – we cannot re-print the link here in the workbook, however – you must get to it on the slide at the end of Module Seven.

Type your name into the 'Name' Field to personalise your certificate and then save the PDF to your device OR print it.



“The fundamental task of management remains the same: to make people capable of joint performance through common goals, common values, the right structure, and the training and development they need to perform and to respond to change.”



Peter F. Drucker, Educator and Author

19/11/1909 – 11/11/2005