

Manager's guide and pack

For the organisation to be successful we aim to support our employees to achieve their full potential. The appraisal scheme has been designed with this in mind. It offers an opportunity to reflect on the challenges and successes of the appraisal year and it allows appropriate space to plan strategically for the year ahead.

The best way to set clear objectives is to be aware of the requirements of the job. Therefore all roles need to have a job description which can then be reviewed and updated as part of the appraisal process.

The aim of the appraisal scheme is to support and motivate employees by setting realistic objectives that align with the organisation and promote individual development.

Pack contents

In this pack the manager will find everything they need to prepare for appraisals, including:

- The importance of appraisals and objectives
- The procedure
 - Overview
 - Specifics
 - Preparation by appraisee (employee), including guidance in completing the pre-appraisal form
 - Preparation by appraiser (manager), including guidance in completing the pre-appraisal form
 - The appraisal itself
 - The follow up

The following forms and letters can be found at the end of this pack for you to use:

- [AD1- Letter inviting an employee to formal performance appraisal meeting](#)
- [AD2 - Letter to an employee following a performance appraisal meeting](#)
- [AD3 - Checklist for planning a performance appraisal](#)
- [AD4 - Checklist for conducting a performance appraisal](#)
- [AD5 - Employee feedback form following a performance appraisal](#)
- [AD6 - Manager feedback form following a performance appraisal](#)
- [AD7 - Preparation for Appraisal Form \(Appraisee\)](#)
- [AD8 - Performance Appraisal Form \(Appraiser\)](#)
- [AD10 – Performance Appraisal Policy and Procedure](#)

Using these templates will help to drive consistency across the organisation.

Why appraisals are important

This system of appraisal provides the means for the manager and the employee to jointly review employee performance. In doing so it will help:

- improve employee performance by identifying strengths and areas for development
- identify obstacles that hinder the opportunity to achieve
- encourage regular dialogue between manager and employee
- assist succession planning and determine the desire and suitability of promotion
- move from *reacting* into *preparing*
- identify ways in which the employees' health and wellbeing can be supported

The purpose of this scheme is to:

- agree what is expected of the employee and how these fit into the organisation
- review performance using a formal platform to discuss progress, identify areas for improvement and build on strengths
- review potential development needs and predict the employee's future capabilities and how these can be developed
- review and assess the employee's eligibility and desire to achieve promotion
- develop the employee to maximise job satisfaction and performance
- increase general effectiveness and efficiency
- ensure that the overall workforce is used effectively
- raise awareness of the importance of self-care

Objectives:

The primary objective – and the heart of this appraisal scheme - is the development of an open dialogue between manager and employee. The following questions are examples of what should be asked by the manager to the employee to identify strengths and development areas to determine what the individual objectives of the process are:

- What are the most important parts of their job?
- Which parts of the job they have done well and why?
- What can be done to build on their strengths?
- What have they not done so well and why?
- What action can be taken to overcome these limitations?

Once this discussion has taken place, it will then be necessary to determine:

- Achievement or non-achievement of current objectives.
- Agreement on future objectives.
- An action plan that outlines milestones and demonstrates what successful achievement of objectives looks like.

The discussion that takes place between the manager and employee during the appraisal interview is the scheme's central and most important part.

Procedure – Overview

Preparation

The Appraiser (manager) will start the process by:

1. Offering clarification on the purpose of the appraisal scheme.
2. Ensuring the employee has access to and has read all relevant documentation.
3. Giving a [Preparation for Appraisal Form](#) to the employee to complete and return.
4. Arranging a convenient date, time and place for the appraisal interview by sending the employee a [Letter inviting employee to a formal performance appraisal meeting](#), between two and four weeks after the *Preparation for Appraisal Form* is returned.

For convenience the manager can use the [Checklist for planning a performance appraisal](#)

The Appraiser should make notes of what they want to discuss and bring them to the appraisal interview, together with the employee completed *Preparation for Appraisal Form*.

Appraisal Interview

For convenience the manager can use the [Checklist for conducting a performance appraisal](#)

The scheduled appraisal interview takes place and the [Performance Appraisal Form](#) is completed. Amendments to the job description can be discussed and made at this time.

After the appraisal interview two copies of the [Letter to employee following a performance appraisal](#) should be completed by the appraiser. One copy is given to the employee and the other is retained on the employees file with the completed *Performance Appraisal Form*, *Preparation for Appraisal Form* and any other relevant documentation.

On the dates specified within the *Letter to employee following a performance appraisal* you should meet with your employee, and, together, review the agreed actions

Procedure - The specifics

Preparation for the appraisal by the employee

Before completing the *Preparation for Appraisal Form*, the employee should read the explanatory notes at the front of the form. Honest preparation by the employee will support the appraisal interview and help the manager and the employee to understand:

- If the job they are doing has changed, evolved, etc.,
- How the employee is performing, and
- What needs to be done by the employee, the manager or the organisation.

The *Preparation for Appraisal Form* is the employee's opportunity to express how they think they have performed.

Completing the Preparation for Appraisal Form (Employee)

Self-appraisal forms the basis for the appraisal interview in terms of what the job is about, how the employee performs it, and what needs to be done by the employee, the manager or the organisation. It helps the manager get to know the employee better whilst providing a formal platform to support each other with common obstacles.

Managers should encourage employees to complete this opportunity for self-appraisal as honestly as possible explaining that it is their opportunity to express how they think they have performed. Whilst opinions to the answers might differ it offers a good insight into how the employee thinks they are performing.

Importantly the employee might feel that their job - as described in the job description - is not accurate or up to date, and this is the ideal opportunity to update this.

The employee is asked to write down what they consider they have done well over the past year. They should think about the most important areas of their job and also consider particular tasks that might not be directly connected to these areas that they feel they accomplished well. They should be reminded that all of this is valid to include.

The second part of this question goes into more depth. The employee is required to think about **why** they performed well in the areas that they identified considering what skills were needed, what difficulties they had to overcome, and how they succeeded.

When discussing aspects of the job that the employee has identified could have been done better, they should consider the most important areas of their role and highlight specific tasks which may or may not be directly connected to these areas, that they feel they could have performed better in.

In addition the appraiser should ask the employee to provide context around what prevented them from performing better in these areas. Some possible reasons maybe:

- Another person's or department's influence,
- Lack of knowledge, time constraints, or,
- Organisation rules, etc.

The employee should be encouraged to think about themselves and all of the factors which are affecting them and their job, including people (manager(s), peers and subordinates), their training and development and any general organisation matters.

This final question on the *Preparation for Appraisal Form* looks to the future and asks the employee to suggest how their performance can be improved. These future actions may relate to themselves, their manager, somebody else or the organisation.

It is particularly important when considering the answers to Questions 2 and 3 that the employee knows they can write down exactly how they feel, no matter how much they think it might be unrealistic or unimportant. Employees should be reminded that the Organisation, through their manager, can only explore ways to resolve any difficulties an employee might have with their job if they know about them.

Employees should be reminded that completing the *Preparation for Appraisal Form* is part of the appraisal process – and that appraisal is a joint exercise. The form will, if completed well, contribute to a positive and productive appraisal interview.

Completing the Performance Appraisal Form (Manager)

The appraisal interview requires the manager to complete the *Performance Appraisal Form* as this allows for a balanced overall grading of employee performance.

Having carefully considered job performance the manager will decide what rating most accurately reflects and summarises the employees work over that year. Overall performance is evaluated on a five-point scale that relates to effectiveness (the sixth option on the form applies to new employees or those new in post).

- Sections 1 and 2 of the *Performance Appraisal Form* correspond to the questions on the *Preparation for Appraisal Form* and should be completed during the appraisal interview as they provide the basis for agreed future actions.
- Section 3 is the overall grading of performance. Having considered the employees performance the manager will decide which of the ratings most accurately reflects and summarises their work over that year.
- Section 4 should detail training needs that can support the employee to build on performance.
- Section 5 is for the employee to record any comments they have about the appraisal.

Note: employees are required to sign the *Performance Appraisal Form* to confirm that they “have seen and discussed this appraisal.” There may be occasion when notes need to be completed and sent over to the employee for signing after the appraisal interview. If this is the case, this must be completed without any unnecessary delay.

Appraisal interview

The appraisal interview should be an open and honest discussion.

It should not be 'high pressure' or stressful nor introduce new information or surprises regarding underperformance. These matters should be dealt with in a timely manner, as they arise, rather than 'saving' them for the appraisal interview.

The purpose of the appraisal interview is:

- to discuss the employee's job performance
- to discuss their strengths and to look at opportunities for development
- to identify limitations in performance and explore ways to overcome these
- to discuss the overall grading of their performance
- to create an action plan for the year ahead

To achieve this during the appraisal interview the manager should:

- put the employee at ease and reiterate the purpose of the appraisal interview
- have accurate knowledge of the required and actual job performance
- give praise for effective work (giving specifics)
- unless there are severe shortfalls, limit criticism to two or three main points
- invite employee self-criticism, comment and questions
- discuss any identified obstacles to improvement
- agree objectives and review dates
- listen and be seen to be listening
- ask open-ended questions, beginning with "how", "why", "when"
- appraise job performance, not the person
- spend as much time as possible looking to the future
- not make promises you may not be able to keep

There is space towards the end of the *Performance Appraisal Form* for the employee to make comments about the appraisal and they should be encouraged to write anything they feel appropriate regarding the appraisal interview or grading.

Once completed, the manager should sign the *Performance Appraisal Form* to confirm the discussion, and the employee should sign to acknowledge receipt.

Any issues or concerns that the employee has raised about the appraisal should be dealt with appropriately, including escalating to a senior manager, where necessary.

After the interview

If future objectives were not agreed during the appraisal interview a further meeting should be arranged without delay to amend (if necessary) and jointly formalise these.

Communication between manager and employee should be ongoing throughout the year with objectives reviewed and updated as necessary. As a minimum, guidance would be for formal quarterly check-ins which should be agreed and diarised during the appraisal interview.

Additionally, frequent informal touch points should also be encouraged to:

- monitor progress and provide feedback
- discuss performance
- adjust goals and strategies
- strengthen the working relationship

AD1 - Letter inviting employee to a formal performance appraisal meeting

Private and Confidential

Name

Address

Address

Postcode

Date

By email to: email address

Dear Name,

Re: Performance appraisal

Under the organisations performance appraisal process, you have previously agreed performance objectives relating to your job role of job title as confirmed in our letter dated insert date.

As the performance review period has now concluded, I would like to invite you to a formal performance appraisal meeting to discuss your performance, to examine whether your performance objectives have been met, and to agree future objectives.

This meeting will provide you with an opportunity to discuss any barriers to performance you have identified and to talk through any progression or performance plans you have.

I have arranged the meeting to take place on date at time in location. If this arrangement is not suitable, let me know by return so we can discuss alternative arrangements.

For clarity I have enclosed a copy of your personal development plan which contains your objectives for this review period. I also enclose a Preparation for Appraisal Form which allows you to complete a self-appraisal in advance of the meeting.

Complete this form in full providing honest and constructive answers to each question to allow the meeting to be as effective as possible.

To ensure there is sufficient time for me to review your feedback, please return the completed form to me by date. If you have any queries regarding the contents of this letter, please do not hesitate to contact me.

Yours sincerely,

Name

Position

AD2 - Letter to employee following a performance appraisal

Private and Confidential

Name

Address

Address

Postcode

Date

By email to: email address

Dear Name,

Re: Outcome of formal performance appraisal

Further to the performance appraisal meeting you attended on date, I am writing to inform you of the outcome. At the meeting, we had a positive and constructive discussion regarding your performance over the appraisal period of dates and your future objectives within the organisation.

Select from the paragraphs below and delete as appropriate

Following these discussions, I am pleased to confirm that you have successfully met all of your performance objectives. You have worked hard over the appraisal period and this has been reflected in your achievements.

OR

Following these discussions, I am pleased to confirm that you have successfully met your performance objectives of insert objectives met. You have worked hard over the appraisal period to meet these.

It was, however, confirmed that you have not met/fully met the performance objectives of insert objective. We, therefore, agreed that these objectives would be carried forwards into the next appraisal period.

OR

Following these discussions, I am writing to confirm that you have not met your performance objectives. As your performance has failed to meet the required standard over the appraisal period, I am writing to inform you that your performance will now be addressed under the organisation's formal capability process.

More details on this can be found in the capability policy, located in the Employee Handbook and your manager will be in contact shortly to start this process.

During the appraisal meeting, you identified that your future ambitions within the organisation were **details**. The organisation is committed to developing our employees and ensuring they are challenged and engaged during their employment. Although no such position or progression is guaranteed, it was confirmed that you will be provided with further **training/support/experience** in the form of **details** to help progress you towards your plans.

I have enclosed a copy of the Performance Appraisal Form which was filled in during the review meeting. Please review the form and include any further comments you have in the applicable section. Once you have completed this, please sign and date the form and return this to your manager to be stored in your personal file.

I also enclose a copy of the objective review form which was also discussed and agreed during the review meeting. Please sign and date this form and return it to your manager.

During the review meeting, we agreed performance objectives which would apply to the appraisal period of **dates**. For your reference, and to refer to at a later stage, I have enclosed two copies of the personal development plan which was completed during the appraisal. Please sign and date both copies, and return one to your manager to be stored in your personal file. For clarity, these will be the objectives your performance will be measured against at the next appraisal meeting.

I would like to take this opportunity to thank you for your hard work and commitment to the organisation throughout your employment. If you have any queries about this process, please speak to your manager without delay.

Yours sincerely,

Name
Position

AD3 – Checklist for planning a performance appraisal (Manager)

The points below are a guide and can be considered and prepared in advance:

Tick	Point to consider
	Collate documentation; job description, agreed objectives, previous review forms, employee self-appraisal form, performance review notes, action plan
	Be comfortable with assessing job-related performance and be able to give the employee a clear understanding of the process to be followed
	Be clear on the job role and responsibilities of the employee
	Be prepared; note considered areas of discussion for the appraisal to provide structure to the meeting
	Prepare a copy of the <i>Performance Appraisal Form</i>
	Arrange a mutually convenient date, time and location for the appraisal interview
	Provide the employee with a copy of the <i>Preparation for Appraisal Form</i> ; stress the importance of it being completed and returned in advance of the appraisal
	Request the employee to complete the self-appraisal and encourage transparency and honesty
	Take notes at the appraisal interview. Document on the <i>Performance Appraisal Form</i> or in a separate record

AD4 - Checklist for conducting a performance appraisal (Manager)

A constructive and positive appraisal is an important part of management. The points below are a guide and can be considered during the performance appraisal process:

Before the appraisal	
	Arrange the appraisal at a location that will be free of disruption or distractions
	Be trained to carry out an effective appraisal process
In the meeting	
	Approach the appraisal interview in a positive, constructive, sensitive manner
	Have the <i>Performance Appraisal Form</i> with you; use as the basis of the appraisal interview to guide you, asking the employee for comments throughout the meeting
	Begin the appraisal interview by reiterating the purpose of the process. Encourage a two-way conversation about their past and future performance
	Take notes and document on the <i>Performance Appraisal Form</i>
	Be an engaged listener and ensure your body language is welcoming and positive
	Ask open-ended questions to encourage open and honest employee answers
	Avoid making promises that cannot be kept
	Discuss the career aspirations of the employee
	Give praise for effective work and positive feedback on achievements and results
	Where no major performance issues are noted, make sure criticism on minor points is constructive and link it to specific examples
	Encourage the employee to engage in the appraisal, invite reflection. Tease out both positive and even better if's (EBIs)
	Invite the employee to discuss obstacles to improvement or make suggestions on obstacles that you might see. Discuss how these can be positively tackled, including whether additional support can help achieve these
	Review the objectives for the previous performance period and confirm if reached. Where they haven't been, discuss next steps (i.e., formal process or extension)
	Agree future performance objectives and the time period for these. Schedule periodic review dates to ensure continued focus and alignment
	Complete, sign and date the Performance Appraisal Form and the Action Plan, with confirmation of the agreed future objectives
	Provide a copy of all completed documents to the employee, allowing sufficient opportunity for the employee to note comments before signing to confirm agreement
	Schedule periodic performance reviews with the employee
After the appraisal	
	Follow up on action points identified as a result of the discussion at the appraisal
	Provide any additional support that has been identified and agreed

AD5 - Employee feedback form following a performance appraisal

General details:	
Employee name:	Date of meeting:
Job title:	Department:
Appraisal period:	Appraising manager:
Did you feel prepared for the meeting? Did you give enough time for preparation?	
Were you given sufficient information to understand the purpose of the meeting?	
How useful was the preparation form?	
Did you understand the method used for assessing your performance?	
Are the objectives relevant to your role? Did you find the appraisal helped to clarify how you may achieve your objectives?	
What commitment will you make to ensure your objectives are met?	
What do you need from your manager to ensure your objectives are met?	
Do you have any other comments to make about the process?	
Employee signature:	
Date:	

AD6 - Manager feedback form following a performance appraisal

General details:	
Employee name:	Date of meeting:
Job title:	Department:
Appraisal period:	Appraising manager:
Was the purpose of the appraisal process clear to you?	
Did you feel confident in taking part in the appraisal process? If not, explain why	
Were you given sufficient information to understand the purpose of the meeting?	
How useful to you was the preparation plan form that the employee completed?	
Was the process fit for the specific role/tasks of the employee?	
Do you understand how the employee's objectives fit with the overall company strategy?	
Do you have any recommendations for change to enhance the process?	
Managers signature:	
Date:	

AD7 - Preparation for Appraisal Form (Appraisee) - Explanatory Notes

This self-appraisal form is an integral part of the appraisal interview in terms of what the job is about, how you perform it, and what needs to be done by you, your manager and/or the organisation. You should complete it as honestly as possible as it is your opportunity to express how you think you have performed.

You and your manager may not agree on the answers, but it lets your manager know how you think you are performing. Note that there is a section on the Performance Appraisal Form (which is the form that your manager will use during the appraisal interview) for you to make comment on your appraisal following your appraisal interview.

Following the appraisal, a separate feedback form will be given to you by your manager. This is for you to provide any feedback you have with regards to the appraisal process.

Question 1

You may feel that your job as described in the job description is not accurate or up to date. This is an ideal opportunity to suggest updates to this and explain why.

Question 2

You are asked to think about and write down what you consider you have done well over the past year. You should consider both the most important areas of your job and also consider particular tasks and occasions that were accomplished well. All are valid. The question asks you to think about how you achieved these positives. You should consider what skills were needed, what difficulties you overcame, and how, eventually, results were accomplished. This is your opportunity to celebrate your achievements.

Question 3

You are asked to think about areas of the job you think you could have done better. You should consider both the main parts of your role as well as individual tasks or occasions where you feel you could have performed better. Try to include what you think prevented you from performing better including people (i.e., manager, peers), the training that you have received, the department that you work in and anything else that you feel relevant.

Question 4

This question looks to the future and asks you to suggest how your performance could be improved. These future actions might relate to people (i.e., you, your manager, or someone else in the organisation) or a particular aspect of the job or work environment.

Question 5

This final question asks about individual self-care and you are encouraged to consider what more could be done to support your own wellbeing. As an organisation, we recognise the importance of employee wellbeing and we encourage you to see this as part of your career development and ask you to discuss it openly with your manager.

AD7 - Preparation for Appraisal Form (Appraisee) - Form

Complete and return to your manager at least **time** in advance of the appraisal interview

General details:	
Employee name:	Date of appraisal:
Job title:	Department:
Appraising period:	Appraising manager:
Question 1: Do you agree that your current job description accurately reflect you role?	
Question 2: Which parts of the job have you performed best? How did you achieve this?	
Question 3: Which parts of the job could you have performed better in? Were there any circumstances which prevented a better performance?	
Question 4: What could or should be done by you, your manager, the organisation, or anyone else to help support improvement in your performance?	
Question 5: What could or should be done by you, your manager, the organisation, or anyone else to help improve your wellbeing?	
Notes that you want to bring to the appraisal interview:	

AD8 - Performance Appraisal Form (Appraiser)

Make time to consider and complete in advance of the appraisal interview:

General details:	
Employee name:	Date of appraisal:
Job title:	Department:
Appraisal period:	
Insert previous year's objectives, targets and standards of performance:	
Which parts of the job has the employee performed most effectively?	
How has this been achieved?	
What action will be taken to build on the above strengths?	
What parts of the job could have been done better?	
Why was this?	

What action will be taken to overcome the above difficulties?	
Overall grading of performance (tick as appropriate):	
Constantly gives an outstanding performance in most areas of their job.	
Constantly gives more than an effective performance in most areas of their job.	
Gives an effective performance	
Sometimes gives an effective performance but some improvement required in many areas of their job (review in six months).	
Constantly underachieving and less than effective in most areas of their job (review in three and six months).	
Too early to assess (review in six months).	
Learning needs identified:	
Employee comments:	

SIGNATURES:

Employee signature:	
Date:	
Manager signature:	
Date:	

AD10 - Performance appraisal policy and procedure

1. Policy

- 1.1 The organisation's policy is that each employee will be appraised annually. This is to promote and ensure continuous development throughout the organisation, supporting employees to improve and progress within the organisation.
- 1.2 A summary of the appraisal will be provided to each employee, and they will be asked to confirm as a fair representation of the dialogue. This will then be referred to as a working document throughout the forthcoming year.
- 1.3 The goal of the appraisal process is to maintain and improve open and honest communication between managers and employees, allowing for two-way feedback to enhance performance for the individual and for the organisation.

2. Objectives

- 2.1 Through this appraisal scheme, we aim to meet the following objectives to:
 - 2.1.1 assist employees to perform their job to the best of their ability; maximising job satisfaction and contribution to organisational objectives
 - 2.1.2 identify individual training and development needs
 - 2.1.3 enable regular one-to-one's and coaching and feedback sessions between managers and employees
 - 2.1.4 to aim for fairness for all employees across the organisation's performance management model and
 - 2.1.5 to highlight the potential that each individual has to develop within their current or a future position

3. Appraisal period

- 3.1 Appraisal interviews will occur annually.
- 3.2 New and newly-promoted employees will be appraised during probation
- 3.3 In addition to 3.1, regular one-to-one discussions will be held and a mid-year discussion will be facilitated by managers to ensure development, coaching and feedback can be provided throughout the appraisal year
- 3.4 Any matters of concern that arise during the appraisal year, such as failing to meet required standards and objectives, will be discussed with employees in a timely manner; and will not be saved until the annual appraisal

4. Conducting appraisals

- 4.1 Appraisal interviews will be carried out 1:1 by the job-holder's manager and they will be the Appraiser
- 4.2 Training will be provided to managers before they conduct their first appraisal interview and on-going coaching remains available
- 4.3 Appraisal interviews are a two way discussion to review performance and support and assist where underperformance is identified, whilst offering a platform for future career development and progression

5. Preparing for appraisals

- 5.1 The manager or HR will prepare appraisal packs for all employees, containing:
 - 5.1.1 Previous review forms (if available)

5.1.2 A Preparation for Appraisal Form

- 5.2 A suitable time, date and location will be arranged by the Appraiser.
- 5.3 In order to self-reflect on the year that has passed, employees will be asked to complete self-appraisal notes using the *Preparation for Appraisal Form*.
- 5.4 They will be given at least five working days to do this.
- 5.5 Appraisal interviews will take place from chief-executive level downwards to facilitate the widest communication of organisational objectives.

6. Appraisal process

- 6.1 The following chart represents the sequence of events followed by the Appraiser regarding the three stages of the appraisal process:

Appraiser	
Preparation	
Gathers	Relevant documentation
Provides	The <i>Preparation for Appraisal Form</i> , to be completed by the employee and returned prior to appraisal
Completes	The objectives achieved and skills gained and further development undertaken (where known)
Makes notes on	The <i>Performance Appraisal Form</i> , action plan (if used)
The interview	
Asks for employee's comments	On their performance based on the self-appraisal notes in the <i>Preparation for Appraisal Form</i>
Discusses with the employee and seeks to agree conclusions	On all sections of the <i>Performance Appraisal Form</i>
Completes	All sections and asks the employee to make general comments as well as sign and date the form
Summarises	Own general comments and signs and dates the form
Follow-up	
Keep notes	Of follow-up actions required to facilitate achievement of objectives and training and development needs
Gives	The <i>Performance Appraisal Form</i> to HR once it is completed and signed by the employee
Ensures	Follow-up action(s) take place as noted

7 Appraisal documentation

- 7.1 The Appraiser must sign and return the *Performance Appraisal Form* to HR within one week of the appraisal interview
- 7.2 The employee should also sign any relevant documentation
- 7.3 If an employee refuses to sign, a note should be made on the form including their objections, so that a balanced record of their views are recorded
- 7.4 HR will retain the original form after sending a copy to the employee
- 7.5 HR will be responsible for collating the information provided on the appraisal forms and, in particular, for identifying those training and development needs that are common to groups of employees and those that are key to the achievement of organisational objectives

- 7.6 HR will update the organisations training and development plan in order to prioritise the provision of solutions for the identified needs
- 7.7 The completed *Performance Appraisal Form* will be viewed as a working document and will be continually referred to and reviewed during the year
- 7.8 Where the objectives agreed at the appraisal interview have changed, new objectives should be agreed with between the employee and the manager

8. Addressing underperformance

- 8.1 Managers should not wait until the annual appraisal process to address underperformance issues
- 8.2 Where underperformance is identified the manager should at that point set objectives with fair and reasonable timeframes for improvement
- 8.3 This can mean using an action plan or a performance improvement plan, either of which should be set in consultation with the member of staff and HR
- 8.4 The action plan or the performance improvement plan should be designed to offer closer supervision and provide opportunity for regular 1:1 discussions to track how underperformance is (or is not) improving
- 8.5 The manager should provide training, coaching, feedback or other relevant support to assist in improving performance
- 8.6 If insufficient improvement is made, the manager, in conversation with HR should consider further support or a formal capability route