

Performance Appraisal Policy (Theory And Practice)

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1. INTRODUCTION

This policy is designed to provide an appropriate, clear, and consistent framework for the assessment of employees' performance within the context of work improvement, self-evaluation and development planning. It ensures that managers fairly and equitably review the performance of their employees and ensures that each employee is delivering high quality service to stakeholders, and is treating colleagues with dignity and respect. It also provides supervisors with an effective tool to evaluate their employees' work performance and also to help employees to improve their work performance. It also gives employees an opportunity to get feedback concerns and areas of potential.

2. PURPOSE

The Main objective of this policy is to ensure that the organizations have a clear, consistent and fair approach to appraisal. Performance appraisal is aimed to:

1. Acknowledge good performance.
2. Evaluate the performance of employees in any organization.
3. Improve employees' performance.
4. Decide performance expectations/requirements and discuss them with the employees.
5. Determine if performance expectations/requirements are being met and how well they have been met.
6. Set objectives for the year ahead.
7. Encourage staff development.
8. Objectively document employees' performance.
9. Inform employees of any performance strengths and weaknesses.
10. Serve as a consideration in making promotional decisions.
11. Inform employees are accountable for the quality and outcomes of their work.

3. SCOPE

This policy applies to all employees employed by the organizations

4. ROLES AND RESPONSIBILITIES IN THE COORDINATION OF THE PERFORMANCE APPRAISAL PROCESS

4.1. *Individuals /Appraisees*

Individual employees are responsible for:

- 4.1.1. Their own performance and ensuring that they understand expectations in relation to work objectives and ongoing work responsibilities for their role.
- 4.1.2. Actively participate in the performance and review process by preparing for the appraisal discussion, contributing to their personal appraisal development plan and actively applying newly acquired knowledge and skills within the role.
- 4.1.3. Self-assessment of their achievements and progress against objectives.
- 4.1.4. Agreeing a Personal Development Plan (PDP) with their appraisers.

4.2. *Line Managers / Appraisers*

Line managers are responsible for:

- 4.2.1. Ensuring that each member of staff has an individual appraisal at least once every year.
- 4.2.2. Ensuring that each member of staff has an up to date job description and person specification.

- 4.2.3. Ensuring that each member of staff has an up to date performance appraisal manual.
- 4.2.4. Ensuring that appraisers have the necessary training, skills and information to carry out an appraisal discussion.
- 4.2.5. Informing HR Department of the date of when an appraisal discussion has taken place so that the staff member's electronic staff record (ESR) is up-to-date and accurate.
- 4.2.6. Ensuring the formal appraisal documentation, store a copy in the staff member's personal file held by the line manager and provide a copy to the appraisee.
- 4.2.7. Ensuring meaningful objectives are set which support overall organizational objectives.
- 4.2.8. Agreeing an annual performance development plane (PDP) with all employees and providing support to meet that plan.
- 4.2.9. Providing regular feedback on achievement and progress required to ensure continuous development.
- 4.2.10. Ensuring that all employees have an equal access to the development opportunities.
- 4.2.11. Recording the Performance Appraisal on the Manual Staff Record (MSR) or Electronic Staff Record (ESR).

4.3. Human Resources Department

Human Resources department is responsible for:

- 4.3.1 Providing guidance on the application of the Performance Appraisal policy.
- 4.3.2 Providing appraisal advice, support and training to managers/appraisers.
- 4.3.3 Helping managers to identify and overcome the barriers to performance appraisal.

5. PERFORMANCE APPRAISAL PROCESS

The appraisers should follow this performance appraisal process which consists of:

5.1. Setting the performance standards

Organizations should first develop performance standards and measures to be used as a benchmark to compare actual performance of the employees. This step requires setting the performance criteria to judge performance of the employees as successful or unsuccessful of the degrees. The standards set should be clear, easily understandable and measurable terms.

5.2. Communicating the standards

The standards should also be communicated to the parties involved in performance appraisal: such as: appraiser and appraisee. Appraiser is one who does the appraisal and the appraisee is the one whose performance is evaluated. The appraisees should be informed to the standards to help them understand their roles and to know what exactly is expected from them. The standards should also be communicated to the appraisers or the evaluators as performance measures. Communicating the standards to the involved parties helps the organizations to modify the standards based on the relevant feedback from the employees or the evaluators or both.

5.3. Measuring the actual performance

After setting the performance standards and communicating them to the involved parties, the third step is to measure the actual performance which is the most difficult part of the performance appraisal process. For example, the work done by the employees during a specified period of time is a continuous process which involves monitoring the performance throughout the year. This stage requires careful selection of the appropriate techniques of measurement such as personal observation, statistical reports, and written reports for measuring the performance.

5.4. Comparing actual performance with performance standards

At this stage, actual performance is compared with the desired performance or performance standards. Comparison reveals deviations in the performance of the employees from set standards. This comparison can show actual performance is better than the desired performance or, actual performance is less than the desired performance or equals. At this stage, organizations reveal whether there is deviation in the performance of the employees (gap).

5.5. Providing feedback

When the actual performance is compared with the desired performance or performance standards, the results of the comparison should be communicated and discussed with the employees on one-to-one- basis. The focus of the discussion is on communication and listening. The results, problems and possible solutions should be discussed, with the aim of problem solving and reaching consensus and motivate the employees to perform better.

5.6. Taking corrective actions

After comparing the actual performance with the desired performance or performance standards, and showing the gap, then, the corrective actions such as training and developments, demotions, transfers etc. should be taken when the actual performance is less than the desired performance to overcome the deficiencies or to take decisions related to HR practices like rewards, promotions, if the actual performance is equal or better than the desired performance.

6. CONFIDENTIALITY

The whole performance appraisal information including objectives and evaluation of performance will be treated with strict confidentiality at all times. Performance appraisal information will only be shared with authorized bodies.

7. DOCUMENTATION AND RECORD KEEPING

1. Annual Performance Appraisal and Development Reviews should be recorded by the Managers to meet local needs or confirm the appraisal discussions and outcome by writing a letter as long as the following areas are documented:
 - a) Performance and progress on objectives for the previous year.
 - b) Agreed objectives for the coming year.
 - c) Feedback in relation to the values and behaviors.
 - d) Agreed development.
2. The appraiser and appraisee should each keep a copy of the completed documentation.
3. The record is kept on a confidential personnel file in HR Department
4. The record should be used as reference for the implementation of the agreed actions and for consideration of progress at the next review.
5. Performance appraisal information should be retained for a minimum period of years either on the employees personnel file or on the HR system.

8. MONITORING

1. HR Department should monitor and evaluate performance appraisal records and related data to ensure policy compliance.
2. HR department is responsible for auditing performance appraisal policies, practices, and processes to ensure that employees working throughout the organizations have a functional and compliant performance appraisal system.

9. POLICY REVIEW

Performance Appraisal policy should be reviewed on an annual basis.

10. SAMPLE OF STAFF PERFORMANCE APPRAISAL FORM

This part gives the readers and policy makers a sample of staff performance appraisal form which consists of seven sections including: personal information of the employee, the overall performance rating of supervisor in conducting performance appraisal, Performance Factors or performance measures, the comments of both employee and supervisor and finally, the signature of both employee and the Rater/Supervisor.

SECTION 1: PERSONAL INFORMATION

Name of Appraisee	
Position /job title	
Section/Department	
Date of Employment	/ / /
Period under Review	From / / / To / / /
Type of appraisal	Annual <input type="checkbox"/> Semiannual <input type="checkbox"/> probationary <input type="checkbox"/>

SECTION 2: DEFINITIONS OF OVERALL PERFORMANCE RATING

Substantially exceeds job requirements	Exceeds job requirements	Meets job Requirements	Partially meets job requirements	Does not meet most job requirements
5()	4()	3()	2()	1()

SECTION 3: PERFORMANCE APPRAISALS

Instructions:

Please carefully review the employee’s performance during the appraisal period and select the description that best describes the employee’s overall performance.

Performance Factors	Rating levels (√)				
Attendance	5 ()	4()	3()	2()	1()
• punctuality	5 ()	4()	3()	2()	1()
• Absence	5 ()	4()	3()	2()	1()
• Tardiness	5 ()	4()	3()	2()	1()
• late coming	5 ()	4()	3()	2()	1()
• early leave	5 ()	4()	3()	2()	1()
Average score for this section:					
Comments					
Competency	5 ()	4()	3()	2()	1()
• knowledge	5 ()	4()	3()	2()	1()
• Skills	5 ()	4()	3()	2()	1()
• Experience	5 ()	4()	3()	2()	1()
Average score for this section:					
Comments:					
Initiative and motivation	5 ()	4()	3()	2()	1()
• Independent	5 ()	4()	3()	2()	1()
• Resourcefulness	5 ()	4()	3()	2()	1()
• Highly motivating	5 ()	4()	3()	2()	1()
Team work and Relationship with others	5 ()	4()	3()	2()	1()
• Attitude towards others	5 ()	4 ()	3 ()	2 ()	1 ()
• Works with others to achieve desired results	5 ()	4 ()	3 ()	2 ()	1 ()
• Conflict prevention	5 ()	4 ()	3 ()	2 ()	1 ()
• And resolution	5 ()	4 ()	3 ()	2 ()	1 ()
• Flexibility					
• Respect					

Average score for this section:					
Comments:					
General Character	5 ()	4()	3()	2()	1()
• Ethics	5 ()	4()	3()	2()	1()
• Conduct	5 ()	4()	3()	2()	1()
• Core Values	5 ()	4()	3()	2()	1()
Average score for this section:					
Comments:					
Communication	5 ()	4 ()	3()	2()	1 ()
• Skill and Clarity	5 ()	4 ()	3 ()	2 ()	1 ()
• Interpersonal Characteristics	5 ()	4 ()	3 ()	2 ()	1 ()
• Listening skills	5 ()	4 ()	3 ()	2 ()	1 ()
• Oral and written skills	5 ()	4 ()	3 ()	2 ()	1 ()
Average score for this section:					
Comments:					
Professionalism	5 ()	4()	3()	2()	1()
• Appearance	5 ()	4()	3()	2()	1()
• personal standards	5 ()	4()	3()	2()	1()
• Confidentiality	5 ()	4()	3()	2()	1()
• Self-control	5 ()	4()	3()	2()	1()
Average score for this section:					
Comments:					
Leadership and/or Management	5 ()	4()	3()	2()	1()
• Planning	5 ()	4()	3()	2()	1()
• Organizing	5 ()	4()	3()	2()	1()
• Directing	5 ()	4()	3()	2()	1()
• Controlling	5 ()	4()	3()	2()	1()
• Execution	5 ()	4()	3()	2()	1()
• Innovation	5 ()	4()	3()	2()	1()
• Style	5 ()	4()	3()	2()	1()
• Managing Changes	5 ()	4()	3()	2()	1()
Average score for this section:					
Comments:					
Discipline	5() No disciplinary record, follows the orders and policies	4() No disciplinary record	3() Less than 2 times of disciplinary record	2() 2 times of disciplinary record	1() More than 2 times of disciplinary record

SECTION 4: OVERALL PERFORMANCE RATING FOR THIS APPRAISAL PERIOD

Supervisor, based on your overall review, check the performance rating level of this employee's performance:

Substantially exceeds job requirements	Exceeds job Requirements	Meets job Requirements	Partially meets job requirements	Does not meet most job requirements
5() <input type="checkbox"/>	4() <input type="checkbox"/>	3() <input type="checkbox"/>	2() <input type="checkbox"/>	1() <input type="checkbox"/>

SECTION 5: EMPLOYEE COMMENTS

This section provides an opportunity for the employee to give comments regarding his/her performance.

Comments:

SECTION 6: SUPERVISOR COMMENTS

This section provides an opportunity for the supervisor and/or the next level supervisor to give comments regarding the employee's performance.

Comments

SECTION 7: SIGNATURES

<p>Employee Name Date Signature NB (Signature acknowledges receipt, not necessarily agreement):</p>	
<p>Rater/Supervisor Name : Date: Signature :</p>	<p>Next Level Supervisor/Dept. Mgr. Name : Date: Signature</p>

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