

## STAFF APPRAISAL

### 1. STAFF DEVELOPMENT

AGE recognizes that the Appraisal Scheme is a crucial component in the development of its staff and is committed to ensuring that all staff take part in an annual appraisal. It views as essential that the Scheme is subject to regular review to ensure effectiveness and continues to be fully supportive of the equal opportunities aims of AGE.

### 2. AIMS AND OBJECTIVES

- The prime aim of appraisal is the improvement of the quality of service offered by AGE through assisting all staff to achieve their potential and carry out their roles effectively.
- Individual staff appraisal should aim to encourage staff to recognize and value the achievements of all staff and help them to identify ways of improving their skills and performance. The approach should be positive and developmental.
- Appraisal provides the Institution and its staff with a framework, whereby they can continually look to develop the quality of service in a professional and systematic manner.
- To ensure that the planned professional development of individuals takes place within a structured context of AGE business plans.
- The basic principles underlying appraisal are that staff:
  - Know and agree individual objectives
  - Receive feedback
  - Are able to raise their concerns with those who have managerial or organizational responsibility for them
  - Receive support and guidance to support the pursuit of agreed objectives
  - Have their contributions and achievements acknowledged

- Are entitled to equality of opportunity

### 3. EQUAL OPPORTUNITIES

Appraisal must operate within the Institution's Single Equality Scheme and consequently be seen to operate fairly and equitably for all those who are involved. It is an entitlement for all staff to get holistic, fair and transparent feedback. In particular appraisers must be aware of the dangers of stereotyped expectations, which result in a biased approach. Appraisal should be used positively to promote equal opportunities by encouraging all those involved to fulfil their potential for development.

### 4. OUTCOMES

Appraisal should include the following outcomes:

- Providing staff with enhanced job satisfaction and appropriate training by identifying their training needs.
- Continuous professional development for staff, whilst ensuring that training meets the needs of the individual and the Institution.
- Clarification of the results/standards expected and acknowledgement of the value of the individual's contribution.
- Realistic and jointly agreed objectives.
- Staff participation in the review of operational practices.

### 5. APPOINTMENT AND ROLE OF APPRAISERS

- The nature of relationship between appraiser and appraisee is critical in determining the effectiveness of the appraisal. Credibility and trust in the appraiser are key elements.
- The appraiser will normally have supervisory line management responsibility for the appraisee and have a sound knowledge and understanding of the work of the appraisee. They must also be in a position to ensure that agreed objectives can be implemented.

- It is the responsibility of appraisers to:

*O Offer a supportive and positive approach.*

*O Ensure clear arrangements are made for data collection and the appraisal interview.*

*O Be aware of their responsibilities under equal opportunities legislation and the Institution's Equality Scheme so as not to discriminate in the conduct of an appraisal.*

The 'Appraisal Process Guidance Notes' are given at Appendix A.

## **6. THE APPRAISAL PROCESS**

All eligible staff will normally receive an Appraisal interview once a year. The Appraisal interview is an opportunity for giving and receiving constructive feedback on performance and for setting agreed objectives and personal staff development for the period ahead.

The 'Appraisal Process Guidance Notes' are given at Appendix B.

## **7. SELF-APPRAISAL**

The process of reflecting on past, present and future aspects of the individual's contribution to the business/service area is vital in preparing for the appraisal interview. The appraiser will provide the appraisee with a self-appraisal form at least two weeks in advance of the appraisal interview, in order to prepare for the interview. Appraisees should look closely at their job outline, consider the previous twelve months work and identify successes, failures and constraints, and think about future hopes and ambitions. Information about the business/service area business plan and objectives will also need to be taken into account. Appraisees should complete the self-appraisal on the form provided; a copy of which should normally be forwarded to their appraiser to enable him/her to read before the interview. In addition, appraisees should be encouraged to submit other data considered to be appropriate.

#### 4 . THE APPRAISAL INTERVIEW

All eligible staff will normally receive an Appraisal interview once a year. The Appraisal interview is an opportunity for giving and receiving constructive feedback on performance and for setting agreed objectives and personal staff development for the period ahead. The appraiser must make the necessary arrangements to conduct the interview. The information discussed at the appraisal interview should not come as a surprise to the appraisee. Ongoing discussion and review throughout the period should have prepared the appraisee for the discussion. The interview itself should not be viewed as a once a year necessity but rather as part of a cycle of ongoing activity concerned with updating, supporting and improving overall professional effectiveness.

The purpose will be to review the appraisee's work against the key result areas of the job, and to give recognition to achievements. The objectives of the appraisee's role for the next year should also be considered. The discussion must include the supporting action that will be taken by both the Appraiser and Appraisee in order to achieve the objectives; and Appraisees should be given the opportunity to give feedback on line manager's performance. Finally, a discussion of the further personal development of the Appraisee should also take place, ensuring that dates are set to review progress.

#### 5. THE APPRAISAL RECORD

After the appraisal interview the appraiser, in consultation with the appraisee, will prepare a record of the interview, having carefully noted the main points made and any conclusions reached. Mutually agreed training and development targets will be recorded in the Personal Development Plan. These should be related to objectives of the organizational plan, as well as linked to the previous Personal Development Plan. Both parties should sign the final appraisal record document. At all times the utmost confidentiality will be maintained. These records will not be used by the Institution, unless by mutual agreement, for any purpose outside the appraisal process.

*The 'Staff Performance Appraisal Form' is given at Appendix C.*

## **6. COMPLAINTS PROCEDURE**

Where the appraisee and appraiser cannot agree on a record of the appraisal, then the matter should be progressed through the established Grievance procedure.

## **7. MANAGEMENT OF THE STAFF APPRAISAL PROCESS**

The Exec Director of the institution will have responsibility for coordinating the management of all appraisal records within the Institution.

## **8. TIMING OF THE STAFF APPRAISAL INTERVIEWS**

In planning individual appraisal arrangements, line managers must ensure that adequate time is available to appraise in order to prepare for and participate in the appraisal interview. Peak overload periods should therefore be avoided where possible.

## **Appendix A**

### **APPRAISAL PROCESS GUIDANCE NOTES PRIOR TO INTERVIEW**

- Prior to the completion of the self-appraisal form, adequate time should be set aside for appropriate communication between the appraisers and appraisees. This may be on an individual or collective basis as necessary.
- Appraisers should recognize the value of a pre-interview, particularly when the appraisal is the first one for the appraisee.
- The use of the self-appraisal form, possible sources of data collection and arrangements for the interview will be discussed and agreed.

### **THE INTERVIEW**

The appraisal interview will be conducted in suitable office premises which, as far as is practicable, is neutral and where disruption is unlikely. It will be organized at a convenient time during the day with as much time as is necessary made available.

The following key elements should be included:

- Consideration of the Institute aims and objectives and the division/service area implications of these should set the context for the interview, since the individual objectives set need to relate to these.
- Structured discussion, which should be as open as possible, will cover the items raised in the self-appraisal exercise and the data gathered from other sources.
- A review of the previous appraisal record and progress towards agreed outcomes.
- A review of the previous Personal Development Plan and its outcomes.
- The opportunity for appraisee to give feedback to appraiser on his/her performance as a line manager.

## **FOLLOWING THE INTERVIEW**

- The confidentiality of the appraisal record form is essential to the integrity of the appraisal procedure. Appraisers should take care to safeguard confidentiality of the appraisal report.
- During the process of agreeing the content of the final draft of the appraisal record, new matters should not be introduced for consideration. The record should reflect the discussion that took place on the date of the appraisal interview.

## **Appendix B**

### **STAFF PERFORMANCE APPRAISAL - GUIDELINES**

#### **APPRAISAL SYSTEM**

1. There is a requirement of having a formal performance appraisal system in Westford Education Group (WEG) Companies, so that we can cater to the HR development needs of all our employees, as well as have a systemized approach towards enhancing the performance of all staff employees. A proposed format for the appraisal system has been developed for implementation at the Group level institutions and companies. It will be done in the form of a self appraisal by the employees, followed by appraisal by the company head/ manager.

#### **BASIC GUIDELINES**

2. The whole performance appraisal process will be done online. The following basic guidelines should be followed while doing appraisal of company's respective employees:-

(a) The appraisal form will be forwarded to the employee (Ratee) who will fill up Section A (Self-Appraisal) of the form and send it back to the manager/ company head (Rater). The employees should be encouraged to answer the questions with objectiveness and truthfulness, as a step towards their own self-development.

(b) Thereafter, Part B (Core Competencies) of the form should be filled up by the Rater, and discussed in detail with the Ratee, pointing out their strengths and weaknesses, spelling out specific goals and objectives desired for the current year, including addressing their needs and aspirations.

(c) Part C (Recommendations) will be filled up by the Rater and this part of the document will not be shown to the Ratee.



## HR DEVELOPMENT GUIDELINES

3. **Performance Growth.** Good workers need to be rewarded so that they can see a progressive growth in their careers and thereby stay with us for a longer time. Every institute/ company should be able to plan the growth of their employees by recruiting the employee in the WEG existent compensation gradation system suiting their job description. For example, an employee can join as Grade 1 or Grade 2 employee, work through the top end compensation of the grade limits within the Grades, and eventually move on to a higher Grade 2/ Grade 3 as applicable, after completion of certain mandatory number of years and service, as well as based on good performance. The up-gradations should be linked to their performance and to the increments/ bonus we recommend and give to our employees every year. The objective is to link up our present increment and bonus schemes with the performance and career growth of our employees, which should drive better productivity and growth of organizations.

4. **Employees' Needs.** Every business enterprise in the world is dependant on the quality of its human resource. The most satisfied employee will give his/ her optimum output which will translate into business growth and profits. A well done appraisal of the employees will make them realize their strengths and weaknesses. Strengths can be exploited further for the organization's benefits and the voids can be filled up by understanding the needs and fulfilling them through training, counseling, etc. Addressing employees' needs and aspirations will cut down on employees leaving us; it will increase retentivity, drastically cut down our recruitment costs and increase productivity.

## WHAT NEEDS TO BE DONE

5. The Performance Appraisal for all categories of employees should be done as follows:-

(a) **New Entrants.** For newly recruited employees, the appraisal should be done at the end of their probation period. This should highlight the suitability of the employee for the job for which he/ she is selected and identify any training needs that are required to be done.

(b) **Permanent Employees.** For permanent serving employees, the appraisal should be done once a year, from 01 Jan to 31 Dec of each year. All completed appraisal forms should be sent to HR by 31 Jan each year.

6. If any staff member has a grievance against his/ her performance appraisal, they should follow the Complaints & Appeals procedures laid down in the WEG Policies and Procedures guidelines. Any comments/ modifications/ suggestions are always welcome by staff members to improve upon the appraisal process. These should be forwarded through their respective companies to HR latest by 30 Nov each year.

**Appendix C**

**STAFF PERFORMANCE APPRAISAL FORM**

SECTION A: Self-Appraisal (By Employee)

SECTION B: Core Competencies (By Rater)

SECTION C: Recommendations (By Rater/ Management)

**Staff Particulars**

**Name:**

**DOJ:**

**Designation:**

**Period of Assessment:**

**Company:**

**Company Head/ Manager:**

**Complete this sheet and return it to your Company Head/ Manager by:**

**Note: This self appraisal is applicable for all staff employees.**

## Section A: Self-Appraisal

1. *Summarize your major accomplishments for this review period (such as conduct of academic classes, students support, quality management, innovative new ideas adopted, extra-curricular activities, etc.)*

**2. Did you encounter any problems and constraints in your work performance during the review period?**

**3. In your current position, what additional skills would be helpful in preparing you to do your job more effectively? How do you plan to acquire them?**

**4. *What improvements & weaknesses have you observed while performing your work during the appraised year?***

**5. *What improvements would you like to suggest in functioning of your company/ department?***

**6. *What other issues would you like to discuss in the appraisal review discussion?***

<b>Ratee Name:</b>	<b>Date:</b>
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**Rater Name:**

**Date:**

*I have discussed and agreed with Section A self-appraisal of the Rater.*



## Section B: Core Competencies

### B1: (1-10 Core Competencies) – *Applicable for all the staff*

Guidelines B1: Tick mark (✓) the rating against each competency

CORE COMPETENCIES		RATING			
		Excellent	Good	Average	Poor
		4	3	2	1
1	<u>OUTPUT &amp; PRODUCTIVITY</u> <ul style="list-style-type: none"> <li>Displays a sense of responsibility and urgency towards goal achievement.</li> <li>Ability to prioritize &amp; use resources like time, money &amp; support effectively.</li> <li>Plans time well to achieve assigned tasks.</li> <li>Is ready to go beyond call of duty.</li> <li>Keeps commitment to complete assigned tasks.</li> </ul>				
2	<u>EFFICIENCY, JOB KNOWLEDGE &amp; EXPERIENCE</u> <ul style="list-style-type: none"> <li>Practical &amp; theoretical knowledge in respective fields and effective application of knowledge.</li> <li>Thoroughness, accuracy and neatness of work.</li> <li>Executes work with minimal supervision.</li> <li>Displays a zealous working attitude and a strong commitment to complete the job in the best possible manner.</li> </ul>				
3	<u>STUDENT/ CUSTOMER FOCUSED</u> <ul style="list-style-type: none"> <li>Listens to students'/ customers' expressed needs, showing concern of their perspective/ problems.</li> <li>Recognizes and engages with students/ customers wholeheartedly.</li> <li>Identifies and implements internal systems/ procedures to address student/ customer issues.</li> <li>Proactively seeks out information and advises students/ customers on the range of possible alternatives.</li> </ul>				

<b>4</b>	<u><b>INNOVATION &amp; CREATIVITY</b></u> <ul style="list-style-type: none"> <li>☉ Creative and innovative in terms of giving ideas and implementing them.</li> <li>☉ Finding out of box solutions for work related goals and tasks.</li> <li>☉ Problem solver with creative results.</li> <li>☉ Generates original ideas and follows through to completion.</li> <li>☉ Adds value to the existing systems and processes.</li> </ul>				
<b>5</b>	<u><b>COMMUNICATION</b></u> <ul style="list-style-type: none"> <li>☉ Shares work-related information openly with others.</li> <li>☉ Ensure timely &amp; proper information flow.</li> <li>☉ Speaks and writes in an easily understood manner.</li> <li>☉ Interprets information and helps others to understand such information.</li> <li>☉ Translates information to others to ensure mutual understanding.</li> </ul>				

CORE COMPETENCIES		RATING			
		Excellent	Good	Average	Poor
		4	3	2	1
<b>6</b>	<u><b>TEAM WORK</b></u> <ul style="list-style-type: none"> <li>☉ Seeks to work well with others.</li> <li>☉ Builds rapport with others and shows sensitivity to others' needs/ views.</li> <li>☉ Shares resources and information with others to achieve the larger department and organizational goals.</li> <li>☉ Participates willingly and constructively in teams and carries own share of workload.</li> </ul>				
<b>7</b>	<u><b>LOYALTY &amp; INTEGRITY</b></u> <ul style="list-style-type: none"> <li>☉ Showing commitment towards Company and its image.</li> <li>☉ Protecting Company against external threats.</li> <li>☉ Remaining loyal under difficult circumstances.</li> <li>☉ Having impeccable integrity.</li> <li>☉ Transparent while dealing with others.</li> </ul>				

<b>8</b>	<u><b>LEARNING ORIENTATION</b></u> <ul style="list-style-type: none"> <li>☉ Learns from mistakes and experiences.</li> <li>☉ Seeks new learning that will foster growth and development for self and team.</li> <li>☉ Demonstrates a desire to continually learn and grow skills and knowledge base.</li> <li>☉ Identifies own personal development areas and makes a concerted endeavour to improve continuously.</li> </ul>				
<b>9</b>	<u><b>ORGANIZATIONAL COMPLIANCE</b></u> <ul style="list-style-type: none"> <li>☉ Acceptance and adherence to Company policies, procedures, and rules.</li> <li>☉ Awareness and implementation of the Company's Quality Procedures and Processes.</li> <li>☉ Clear understanding of job responsibilities and fulfilling all of them to maximum extent.</li> <li>☉ Obediently follows all quality control and organizational compliance processes fully.</li> <li>☉ Creates a culture of quality consciousness and compliance amongst all staff members.</li> </ul>				
<b>10</b>	<u><b>LEADERSHIP</b></u> <ul style="list-style-type: none"> <li>☉ Motivates and energizes others to believe in shared goals.</li> <li>☉ Ability to command and handle people in order to achieve task.</li> <li>☉ Sees "the bigger picture" and ensures all goals and objectives are implemented in an effective manner.</li> <li>☉ Leads by example.</li> <li>☉ Is able to motivate his/ her subordinates in different situations.</li> </ul>				
	<b>Total Score</b>				
	<b>Grand Total</b>				

## **Overall Evaluation**

**Guidelines:** Circle the **G** only in accordance with "Grand Total Score"

Rating		Grade
10-15	Poor	D
16-26	Average	C
27-34	Good	B
35-40	Excellent	A

## B2: Comments by the Rater

## B3: Recommendation for Training & Development

i.

ii.

iii.

### Goals & Objectives for the Ratee

**B5: Review by the Company Head (If Not the Rater)**

**B5: Review by the Group Academic Head (Only for Faculties)**

**Rater Name:**

**Date:**

**Ratee Name:**

**Date:**

*I have read, discussed and agreed with Section B core competencies given by the Rater.*

## **Section C: Recommendations**

**Note:** *This section will be filled by the Rater & will NOT be shown to the Ratee.*

### **C1: Specific Development Plans**

*(Guidelines: Tick if applicable)*

<u>Recommendations</u>	<u>Remarks</u>
Job Rotation	<input type="checkbox"/>
Job Enlargement	<input type="checkbox"/>
Others (Please Specify)	<input type="checkbox"/>

<b>C2: Recommendations</b> <i>(To be filled by Rater)</i>
<p><i>Guidelines: Put 'Yes', 'No' or NA (Not Applicable)</i></p> <ul style="list-style-type: none"> <li>• <b>Recommended for promotion:</b> (If Yes, mention the designation)</li> <li>• <b>Recommended for increment / bonus:</b> (If Yes, specify the amount)</li> <li>• <b>Recommended for any special course:</b> (If Yes, specify the course)</li> </ul>



**C3: Follow-up Action**

*(To be filled by HR)*

**C4: Final Review By CEO (If Required)**