

# Performance Appraisal Policy

## 1. Policy Objective

- 1.1. At ColArt appraisals as part of performance review are about motivating and developing employees and supporting them in performing their roles at the highest standard possible. This is achieved through the provision of opportunities for them constructively to discuss their performance with their manager and, in particular, to identify areas for development and mutually agreed ways in which those needs can be met.
- 1.2. Performance appraisal will be a comprehensive, continuous and flexible approach to the continuous improvement of teams and individuals and is a natural process of management. Effective performance management is essential to the ongoing success of ColArt as it creates a shared vision of the purpose and aims of the business whilst ensuring that each employee understands how they contribute to these aims.
- 1.3. In support of this, ColArt expects all its employees to participate in the appraisal process positively and constructively, whether they are conducting an appraisal or being appraised. All employees should receive constructive feedback on a regular basis from their managers about their achievements at work not just through the formal annual appraisal.
- 1.4. Appraisals should be a positive experience, although development needs and areas where performance has been less strong should also be discussed. The process is not meant to replace normal day to day feedback for work done well or where there are problems. ColArt expects managers to have meetings with their employees at regular intervals throughout the year to discuss how they are doing.

## 2. Scope

- 2.1. The appraisal process must comply with the contents of this policy and all employees within the global ColArt Group must be covered by an appraisal process.
- 2.2. Different formats of appraisal will be used for different levels of employees for example the process of appraisal for line management will reflect ColArt's focus on leadership behaviours whereas at the shop floor levels focus will be on specific skills.

## 3. Policy Principles

- 3.1. **Fair and Objective Appraisal.** As well as being an opportunity to discuss development, an important part of appraisals is the objective assessment of performance against specific objectives and the employee's role specification. Appraisals will be conducted fairly and in line with ColArt's Code of Conduct. No employee will be unfavourably treated on the grounds of sex, race, disability, religious belief, sexual orientation, age or any other irrelevant ground.
- 3.2. **Feedback to Employees.** It is important that employees receive feedback on how they are doing not just during the appraisal. Regular meetings should be held throughout the year to review how the employee is doing against their objectives – this should be a normal part of management. Feedback should where appropriate include input from a range of sources as well as the "line manager" and should not only be given when things are going wrong. If any concerns arise during the year about an employee's performance then appropriate support should be put in place in discussion with the employee. Where necessary, the matter should be dealt with in line with ColArt's capability procedures.

- 3.3. **Self Appraisal.** Fundamental to the process, is the employee's personal appraisal of their own performance. The employee should prepare this appraisal in advance of the discussion with the line manager.
- 3.4. **Formal Annual Appraisal.** In addition, to ongoing feedback all employees will have an annual one-to one appraisal. Managers and employees should reflect on critical incidents and past behaviour to identify their future development needs. Employees are responsible for their own development but this should be supported and facilitated by their manager.
- 3.5. **Clearly understood process.** Managers and employees are responsible for ensuring they fully understand the appraisal and are responsible for identifying any briefing or support they need to enable them to participate effectively in the appraisal process.
- 3.6. **Training.** To ensure full understanding of the process training and support will be provided to enable line managers to conduct appraisals in a timely, fair and appropriate manner

## 4. Policy Operation

### **4.1. Who Should Conduct the Appraisal?**

The appraisal should normally be conducted by the employee's line manager (or other appropriate person who has management responsibility over the employee). It is not appropriate for it to be completed by a colleague of equal status or a subordinate. Employees must not nominate their own appraiser. If appropriate and in agreement with the employee, the appraiser may seek feedback from other people who work with the employee or for whom the employee has undertaken work in order to inform the appraisal.

### **4.2. When Should the Appraisal Take Place?**

Appraisals may be conducted at any part of the year in line with the natural calendar of the business unit. It is up to the line manager and appraisee to agree and set the date for review during the year.

### **4.3. How Often Should Appraisal Occur?**

Each employee will be appraised at least once every 12 months, although employees and managers can agree to have appraisals more frequently if they feel this is necessary. In any event, regular feedback meetings should take place between the manager and the employee throughout the year. The employee will be given sufficient notice of the appraisal date therefore giving them time to prepare for the meeting. A reasonable period of notice would be no less than two weeks.

When notifying the employee of the appraisal date, the manager will provide the employee with a self-assessment appraisal form (or a link to the automated appraisal platform) to give them the opportunity to evaluate their progress during the last 12 months.

### **4.4. What Format Should the Appraisal Take?**

The annual appraisal should be conducted as a one to one meeting between the individual and their manager.

### **4.5. Preparation for the Appraisal Meeting**

The employee is responsible for ensuring that they complete the self-assessment form prior to attending the appraisal. Employees must also make sure that they can provide their manager with evidence of their performance and any achievements made.

### **4.6. The Appraisal Meeting**

Once arranged, the manager should ensure the appraisal meeting takes place on time with no interruptions. Meetings should only be postponed for exceptional reasons and should take place as soon as possible and ideally within two weeks of the original date for the meeting.

The manager should also ensure that enough time is set aside for the meeting. As a guide this is unlikely to be less than one hour but will vary with the complexity of the appraisal. Appraisals must take place in a private environment where any matters discussed can be kept confidential and arrangements should be made so that there will be no telephone or other interruptions during the meeting.

The appraisal is an opportunity for open discussion and the manager should ensure that the employee can talk freely about areas where they have not performed as expected or the reasons why they have not had the opportunity to complete some objectives as well as about the more positive aspects of their performance.

#### **4.7. Written Appraisal Record**

The points discussed during the meeting should be recorded in the appraisal notes and agreed by both the manager and employee. The employee has the right to correct any factual errors in the appraisal. If the employee disagrees with the manager's judgment they should be given the opportunity to record such comments but the manager need not change their judgment if they believe it to be fair and supportable. A copy of the written record should be given to the employee (with records kept on the automated system as appropriate).

#### **4.8. Follow-Up to the Appraisal**

Performance management is a continuous process of which the appraisal meeting is a part. The appraisal should not contain any information that should have been discussed with the employee during normal feedback throughout the year. Managers should ensure that they put time aside for one to one discussions with their staff at regular intervals during the year to consider ongoing performance in the role and against the objectives set during appraisal. These sessions should be held at least once and ideally twice a year in addition to the annual appraisal. Any changes, support or development needed should be agreed and put in place to ensure the employee has every opportunity to achieve their objectives. The purpose of these meetings is to maintain contact between the employee and manager, to review performance together and to develop and build upon a trusting working relationship that will facilitate openness and honesty during the appraisal and on a day to day basis.

A brief note of any agreements made or any significant discussions should be made for future reference although there is no need to keep a formal record of the meeting.

## **5. Responsibilities**

- 5.1. **Role of the Line Manager.** All employees will receive an appraisal from their immediate line manager (or other appropriate person who has management responsibility over the employee). In this context, line manager means the person who directs, manages and has a post of responsibility for the area in which the employee mainly works.
- 5.2. **Role of the Appraisee.** All appraisee must complete the appraisal form in advance of the meeting sending these details to the line manager before the meeting to ensure a full and prepared discussion.
- 5.3. **Role of HR.** To provide support and guidance for the process and deliver training where appropriate to ensure all line managers are committed to their role in the process. In addition to update the appraisal process in line with best practice and business needs.

## **6. Compliance**

Failure to comply with the governance structure for the completion of a performance appraisal on at least an annual basis is unacceptable to the Company and fails to meet the expected value behaviour of line management as part of the leadership team.

### 7. Issue Management Process

If application of this policy leads to an issue within the business, it should first be referred on a local basis to HR or the General Manager. If an issue still exists it should be referred to the Group HRD for final resolution.