Strategic Performance Management Prof. K. B. L. Srivastava Department of Humanities and Social Sciences Indian Institute of Technology, Kharagpur

Lecture - 18 Self-appraisal

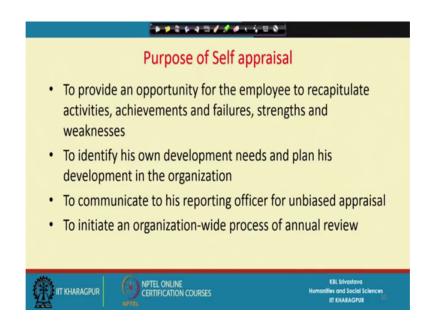
So, welcome to the next lecture this is the third lecture of the 4th week, and you remember in the 4th week we started discussing about that how we are going to implement a performance management system in an organization. And there we discussed about how we go about rating individuals for better performance, right? and we use various approaches and methods for evaluating the performance. One of the methods for evaluating performance is that where individual himself is going to evaluate his performance alright? So, this is known as self-appraisal, where I am going to evaluate my own performance.

Now, when the question of self-appraisal comes many organizations are very, very apprehensive about this kind of thing. They think that if individuals are going to evaluate their performance they will not be able to do justice with this job because, it is the job of the supervisors.

Now, many organizations of late have started giving this opportunity to individuals. So, that they evaluate their performance for example, even in our system we evaluate our own performance this is known as self-appraisal. So, there is a form there is a measurement technology that is used ok, it is automated. But it is we who are going to fill up the form of evaluation, right? So, we are going to evaluate our performance because, it is the individual who know knows better about his performance and that is what we know that is what is what we call self-appraisal

Now, one of the preconditions of self-appraisal that yes you should know about what you are doing, how well you are doing and whether you will be able to properly record your performance or not ok. So, these are some of the issues that we are going to discuss in this self-appraisal, right?

(Refer Slide Time: 02:13)



So, what is the objective of self-appraisal? Why people should be allowed to evaluate their own performance, right? One of the advocates who said that ok, if you are going for sell appraisal is that you are giving a opportunity to the employee to comprehensively talk about his activities his achievements his failures, his strength and his weaknesses.

Now, the question is that if you are allowing an employees to talk about his achievement his strength his failures, and he will be able to recapitulate everything in a very comprehensive way is it possible or not? Now, many organizations and managers have question this that whether individuals are mature enough they understand it or not the, but if individuals are not mature enough they are not self-aware about it probably, it will not be possible to move for self-appraisal, right?; Because the trend has been to evaluate the performance of others. Let as teachers we are going to evaluate the performance of their subordinates.

But, when you are giving them an opportunity to evaluate their own performance, whether they would be able to do justice with this job or not, right? But, the idea is that yes you give them an opportunity see what happens, whether they are able to do a good job or not. This helps in identifying their own development needs. Because, if you tell them that you identify your own strengths and your weaknesses probably the individual

himself would be in a better position to tell about what his strengths are and what is weaknesses are all right?

And then base, when he is going to evaluate his performance on those dimensions which you want him to evaluate identifying the key objectives, right? Key accountabilities objectives and standards. He is going to report it to your supervisor, right? So, it does not mean that you are going to evaluate and keep it with yourself. After evaluation you are going to communicate it to your reporting officer right.

So, that reporting officer have a look at it, and see whether you have done a good job or not, and whether you have been biased or not, whether you have been very lenient strict or whether you have made any other or not, right? Sometimes what happens when we evaluate our performance we try to exaggerate it.

So, are we right? Certain things which is very difficult to prove, right?; Because, there is no record for that. We said that we are we were engaged in data these activities, but this since there is no observation or recording of this kind of activity is very difficult to prove whether you have done it or not.

So, there are some of the issues that we will talk about later self-appraisal, but yes it gives you a very good opportunity to individuals to speak about themselves relate to the strength weaknesses what they have done, what have been their achievements, what kind of activities they have done what is their performance, right? And this helps them to identify their own development needs they. Based on these strength and weaknesses which they have identified about themselves they realize, this is what they need to do. So, they identify their areas for improvement, right? And then with the help of the manager they can plan about the development of those areas where they need improvement right.

So, once this is done they are going to communicated to the supervisor ok, and then this process is initiated.

(Refer Slide Time: 05:53)



What is the process? So, you know that these organization has a appraisal period, the performance appraisal period it could be anniversary period or a financial hour it could be the year wise for example, December to January or February April to march, or it could be depending upon the joining of the candidate ok.

So, whatever it is once you have decided about the performance period then, the individual who is going to evaluate his performance he is going to see that what his KPAs are key performance areas are what are the objectives that is supposed to take, right? And then he is going to the individual the apprising himself is going to reflex apart his achievements and failures. So, he is going to write the record, right? And he is also going to identify the development needs. So, this is the process.

You identify the period, right? You identify what is your key result areas objective standards which use we are supposed to achieve. You write that one by one based on all the activities achievements performance standards reserve that achieved, and based on that you see what you have not done not only achievements, but also failures. And based on this you are going to develop your identify your development needs for the next cycle.

(Refer Slide Time: 07:14)



So, let us look at their steps that is involved. Step1 you know what you know it means, that you need to understand what exactly you know right about yourself, right? So, you should not know more details about your job performance than anyone else because, since you are doing the job you are in a better position to understand what you have done, what is your job performance even better than your supervisor. Because, supervisor will come to know about your performance from the observations, but you will be in a better position to understand what you have done as a part of your job, right?

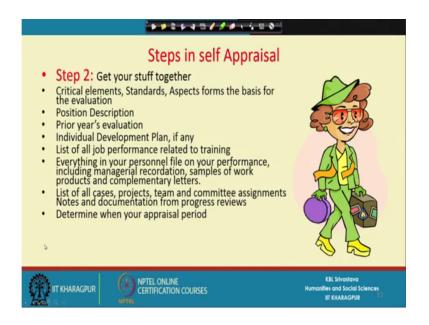
So, starting with the financial year or physical year or whatever it is right. You are going to keep a record and note and also all the written materials, which is which is going to prove as a record of your accomplishments. So, you start collecting all the activities achievements for the entire period starting from the day one, right? So, you create a folder maybe soft copy or a hard copy for have a note ok, and keep a record of all your accomplishments throughout the period.

It could be relate your suggestions ok, whether you have prepared a memo or you handled a problem or whatever you have done, list out all those activities. Which shows your skills in different activities, right? And you are going to capture it through writing, right? So, you are going to write applied a list of all activities that you will performed as a part of your job, right?

So, next is your up and then you see that; however, a skill have result produced the results, right? You are also going to write what you have achieved in terms of results various results that you are obtained, right? That to in writing ok. And whether you had did done it at alone or whether you did it a part of the group job or teamwork whatever it is there, and then what was your contribution. You also look at your accomplishments talk to your fellow employees; you might be missing out certain things you may talk to your boss. So, he might suggests also certain things.

So, you for the first stage you should understands basically your accomplishments. So, list them out. So, you should know what you have done, right? At the first stage, and you have kept a record of everything as a part of your job that we have performed in a given job, within a given timeframe, right?.

(Refer Slide Time: 09:46)



So, this is the step number 1. Moving to step number 2, once you have you have identified whatever you have done, right? Then you get your step together it means that you collect all that information, right? This is the second step.

So, if you look at this step you can see that you have identified all the critical elements which had led to better performance, you know what are the performance standards against which you are going to be compared, right? Because, they are going to be basis for your evaluation right? Because, you are using them for evaluating yourself right.

Then, you start with the position description, right? What I mean to say by position description here is, that you write the title of your job which you are doing, right? What is the nature of responsibilities, what is the evaluation period, right? So, this is related to position description ok, whose your reporting officer that you can also write every self appraisal you also write the name of the reporting appraisal. So, your you write your name, your department the position to which you belong all right, and you also provide a brief summary of your duties and responsibilities as a part of your position right.

Then, you look at your priors prior years evaluation what you will what was your achievements in the past because, that will give you an idea whether you are this year achievement was good or bad or whatever it is right? And what was your development plan for the last year, right? See what kind of training you have achieved as a part of the development plan.

So, once you have the data in your file your personal file relate to your performance. So, you compile all the data all the activities all the products as a part of your as which is going to the part of your results, and any appreciations letter that we have received from your managers ok. So, because that you are going to use as a part of your appraisal. So, you collect all of them then, list all such cases projects assignments, notes, documents for the entire period, and then you decide about what could be your appraisal period whether it is if it is 6 month then you collect this data for 6 month, but suppose it is for one year then we are going collect data for the entire year.

The question here is that, once you are able to understand what your job is then, you collect all the information together so, that you can put them in writing, right? So, it is very, very important that you are going to list up all such cases which is related to your performance, whether it is related to behavior or performance does not matter, right?

So, it will that is relate to behavior you list out all those competencies which you have very which are a part of your strengths, right? Or even if it is not a part of your strength you weaknesses you also mention that ok, these are the competencies which could not be developed by you which could not help you to achieve the goals and objectives, right?. So, everything that you are going to do here is going to be part of your writing, right?.

(Refer Slide Time: 12:58)



So, once we have collected then we are going to put them into writing, right? There is the show time; now, when you are going to do it not after record, but you are going to do it in the office hours only. So, you tell your supervisor that you are going to write your sup appraisal you are ready for self-assessment because, we have collected all the information related to your achievements behaviors.

So, you have all the cases related to you with you, right? And then see that how much time we are going to spent on a self-assessment. Because, the idea here is that you are not going to miss out anything and I similarly you are not going to write anything which you have not done, right? So, it is very, very important to be correct, right?

Then short your documentation by critical elements, right? What I mean to say since so, identified your key performance areas and these key performance areas have relative weightage, you know that some of the key performance areas contribute more to your performance, right? Some of the key performance areas contribute less to your performance, right? For example, for a faculty teaching is the most key perform a short after area is the key result areas which might have a 50 percent weightage, a research might have a 25 percent weightage, training and consulting might be having a 25 percent weightage.

So, if these are the critical elements which contribute to performance of a teacher. Now, when you are going to short out the document see that what was your teaching feedback,

how well you have taught the courses, how many not only how many courses you have taught? So, not only the quality of information, but the quantity of information both are important here ok. And whether you have been able to achieve the targeted results are not because, it is going to contribute your performance.

Then, you are going to present consistently to others in a very clear understandable manner. So, that when your reporting officer reads it out he is clear what your achievements are ok. What kind of competencies you have shown on the job in terms of your behavior, what are the results that you have achieved. When you have demonstrated good strength capabilities and what are those areas where you have not been able to demonstrate? What happened your learning experiences what was the development plan last year? And how well you have been achieved been able to achieve those development plans or not.

So, the documentation has to be done one by one for all these elements in such a way. So, that you are able to prioritize them based upon the most effective tool is effective and which is clearly understood. So, if you are going to communicate in very well. So, probably he will be able to understand it.

(Refer Slide Time: 15:38)



So, when you are going to write it the best idea is that you use I mean tell a story, right? Write 2 sentences just it is like telling a story this is what we have done like I did I did

help the management to sort out any issues related to say a conflict which was going on the department, right?.

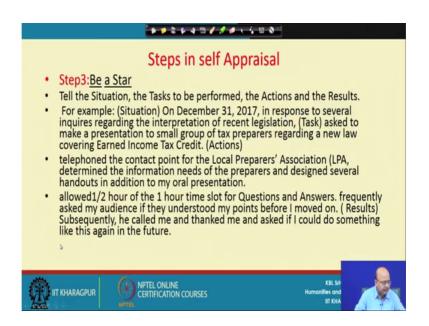
So, you have to very, but at the same time we also use certain specific elements out of it, right? So, for each critical element that you have identified see that how you are going to write it. So, we whether we are going to write a single phrase or we are going to write a number of words there or number of statements, right?

So, with this you will be able to come out with your first draft, right? Once you have written everything in a clear lucid crystal and understanding way probably you are ready with a first draft ok. What is more important is your writing style. So, how are going to write your assessment? In some organizations they already have pre-specified forms appraisal forms which we have to fill up.

So, there is not a problem, but when it is not available and you are supposed to write about it for example, there is right they identify the competency, and then ask you to rate yourself, but if the descriptions are not available then it is very difficult.

So, there we are going to write it make it simple clear and brief. So, that when the supervisors are going to read it, they understand what we have done what we have not done.

(Refer Slide Time: 17:09)



Moving next is be a star. It means that when we are going to write the description how do we start? Ok. Look at each and every situation who are of contributed what kind of job you have done or task you have performed, what kind of activities you perform and what was the result.

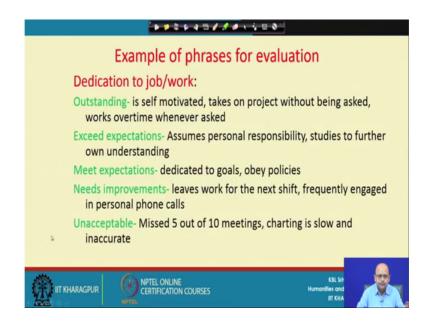
So, so, that you can relate the situation the performance activities and the performance and the result together, right? For example, here, one example I have taken like on December 31 2017 in responds to several inquiries regarding the interpretation of recent legislation. It is for an ir job asked to make a presentation on a small group of tax preparers regarding a new look law covering on income tax credit. For example, you know that for the GST we are talking about this income tax credit which has come on to the force.

So, being a hr manager you are going to solve this problem. So, you have to see that what activities you have taken?, what was what are the situation? What is the task that you have performed? What actions you have taken and what was the result out of it, right? Another example telephone the contact point to the local preparations associations to look at that requirement of the preparers and designer design several handouts for my oral presentation.

Second third allowed half an hour of one-hour time for questions answers frequently asked my audience. If they understood my points before I moved on that is the result. It means that people have understood what you want to convey, right? Subsequently you called me and thanked me and asked if I could do something like this again in future.

So, see these are this is in the form of stories. So, you are writing them to make your supervisor explain or understand what activities you have done, right? In what context and what was the outcome or the result of this, right? So, it is to be descriptive, but simple clear and very brief.

(Refer Slide Time: 19:02)



Then, when you are using phrases for evaluation how do you go about it, right? Say particularly related to problem solving, or any kind of competencies one example that is given here is dedicated to job or work ok.

So, these are 5 phrases that could be used you have been outstanding, we have been motivated enough taken the project ok, being asked worked overtime whenever it was required. It means that you are dedicated to dedication to work on the job was very high, and that is all how you are measuring the level of dedication to the job you have. So, you can say exceed expectations what does it mean it means, you to personal responsibility to understand and try to understand see that you are able to do this job. Meet expectations it means, that you will dedicated the goals followed all the policies and rules, right? To perform the job, need improvements it means that, you are not enough dedicated dedication for the job, right?

It means that, probably you are not dedicated enough. So, you will left work for the night shift and ah, you were engaged in personal responsibility. It means that, your you did not devote enough time to perform your job effectively finally, an unacceptable ok. It means that, you could not attend all the meetings. The way you create created charts and flow over flows were very slow and not very accurate it means, if you look at this particular dimension on the which is a behavioral dimension, right? It is a behavioral competency.

So, when you are going to evaluate it on this these are the phrases that could be used, right? But, for that you need to understand yourself whether you will be able to do it or not, all right? So, this example is given to clear that how we are going to write your evaluations, right?

(Refer Slide Time: 20:53)



Once you have written it the next stage is what? Submit a copy, right? Once you have cleared it then we are going to submit a copy to the so, reporting supervisor and also keep a copy with yourself. Make sure that you have a soft copy as well as hard copy both, right? Submit it within the given time frame that is they available to you, and also note the time and date when you have submitted it. So, that supervisor cannot complain it later on.

Suppose if you have done it online then, you send a soft copy to supervisor. Because, he can put into the system, but if you are submitting a hard copy make sure that you get it received by the him ok. So, that it is officially known that you have done your apprised it, right?

(Refer Slide Time: 21:48)



So, once you have submitted and kept a copy and make a report into the supervisor, right? It does not end here, this is the last stage.

Then, it means now, you are ready for the next phase ok. So, for the next year again you are going to start the same process, start a file for the next year do not postpone it because, suppose you have done some activities in the first few months or one month first month, and you have not recorded you have not kept in note or dairy then, probably that would have missed out.

So, from your first record you can understand how will you have done this job of self-recording, or self-assessment and then you see that how you can improve upon that. So, that you are ready for writing your next appraisal at the end up the next cycle, right? So, these are the various steps that could be used and self-appraisal.

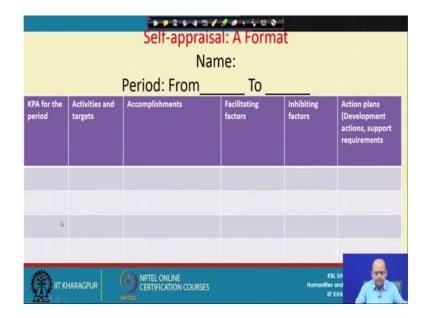
(Refer Slide Time: 22:36)



Now, let us look at what is the positive effect of self-appraisal? Why companies are advocating or managers in progressive companies are moving towards self-appraisal ok. And they are doing away on the practice the traditional practice of appraisal by the superiors, right? See when we are going to evaluate our self, right? It increases certain things that is, it gives more self-esteem to us we think more positively about our self. It increases confidence in ourselves, it also provides emotional stability, and we think we are able to control things at the job which we are performing, right? And this leads to what certain outcomes like you have better performance, you are more happy with the job that you are doing. We are also happy with life because, you think that is you are you are doing the job and you are evaluating yourself, right? Ok.

So, you think that you have the personality in uniqueness in the sense that, you are doing something which is worthwhile which is contributing to the performance. So, you feel happy satisfied and your performance is good. So, if you look at this positive effect it is very, very much very much near and that is why, companies today are moving to more self-evaluation. Not at the lower level, but at the managerial level you will find that they are going for more self-evaluation at. But, at the lower level of the job you will find that they are not moving far self-appraisal. They are a still following the practice of evaluation by the superiors, right?

(Refer Slide Time: 24:22)

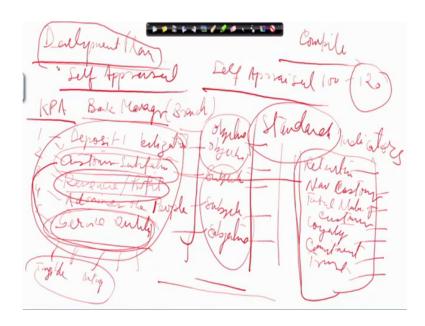


Now, moving further I am just giving you one application form. We suggest that how we go about self-appraisal, right? So, if you look at this it this is a typical format you should not take it otherwise because, you need to understand that how self-appraisal is done.

So, here, the if you look at this self-appraisal format what does it suggests? It talks about the period, who is going to evaluate himself and then it has certain columns, right? For example, what is the KPAs. So, you need to identify your KPAs for the period, right? ok. I will give an example to explain it then next is what are the activities that you have done or the targets that you have to meet.

What was your accomplishments? You also identify what helped you to achieve these accomplishments or targets, and what did not help you and what is your action plan, right? So, it is simple format which I would like to explain you further to see that how it happens, right?

(Refer Slide Time: 25:26)



For example, when you are going for self appraisal all, right? So, you are going to evaluate your performance ok. So, you are identify your KPAs, right? correct. So, KPAs say 1 2 3 4 5 for example, you take the example of a bank manager. So, how would you identify the bank managers KPAs? ok, the most important job is to bring business to the bank, right?

So, deposit mobilization this is one thing then, customer satisfaction is need to ensure that revenue and profit is also important for revenue generation or profit, is also important to see that he is going to administer the branch of a particular branch. I am writing here administer the people in that their branch, right? Suppose you identified these are the 4 important areas which he should be concerned with, right?

So, but this case this KPAs have to be identified very carefully because, this is related to your key countable key a count abilities. Now, each in each of these areas we are going to identify your objectives and also standards. Some of them are going to be measured objectively, some of them are going to measured this is going to be an objective measure, this is a subjective measure. You can quantify depending upon the number of increase customers and loyal customers how many new customers you have added right, right?

So, that would give you an idea about this and another thing that you can use it because, for bank the service quality is very, very important. So, this is again is going to be a subjective measure right? Administration this is going to be a subjective measure. So,

you have taken 2 objective measures and 2 subjective measures, right? And for each of these objective measures you have to identify what is the standard against which you are going to evaluate the performance, right? So, these are the KPAs for example, I am going to take one example behavioral competency that is, but the extent to which customers are satisfied with the branch what is the service quality?, what are the parameters of the service quality that you have to identify?

Because, those are the indicators with which you are going to measure service quality, and you also need to identify say customer satisfaction. So, retention is one thing, Vv right? How many customers who have been existing in the bank have been able to retain and not move to other banks, right? New customers that you have added, right? What is the total number of customers that you have, right? What is the loyalty? ok.

So, there could be a number of factors commitment among the customers trust. All these factors are related to what you call satisfaction could be related with the satisfaction, right? So, you are going to measure this in order to say the extent to which the branch manager I have been able to perform a job. Look at the service quality now, suppose you are going to measure the service quality, how they are going to measure the service quality? If a branch manager, service quality could be tangible in nature or intangible also like, the kind of ambience speed of response delivery of the services how fast it is done, right?

So, all this could be related to what you call service quality for example, you when you go to the bank you expect better service quality in terms of ambience at environment. Better deliver the services prompt response from the people from the bank. So, you expect all these kind of things and based upon your perception of the service quality, you are going to see that whether the customers are going to satisfied or not. So, this could be related also customer satisfaction service quality could be related, right? So, once you have identified the dimension or the key performance areas, and the indicators of these are the indicators you will say, right?

So, now, you are going to collect data since you are going for self-appraisal. So, you are going to appraise how much business you have created in terms of revenue and profit, right? How much is deposit you have increase mobilized new deposit you have mobilized it means that, number of increased customers are there or not.

Now, with this you are going to see whether on these accounts what is your score. So, you need data on this. So, for similarly you also need data on all these 5 factors that we have talked about. Whether it is deposit mobilization, whether it is customer satisfaction, whether it is revenue generation or profit of the bank that has been made by that particular branch.

Because, you are the manager of the that particular branch and you are responsible for the profit of that particular unit, right? And what could have service quality is there, right? Objectively and subjectively you are going to measure this and based on this data you are going to compile this, and you are going to create a profile in the form of what we know as self-appraisal.

So, when you are going to self-appraisal you collect and collate all the information using the steps that you have used right? And then you see that the extent to which you have been able to achieve all these objectives against certain standards. We did not talk about the standards here, right? So, when we are talking about the standards you are going to talk about numbers how many customers have been retained from the number of new customers that you have added? How much profit we have been able to made?; And whether it is meeting your targets or not. Suppose you say that you last year you had 100 [FL] this year we want to have 120 cup [FL] deposit mobilization.

So, this become a standard against which your performance you are going to measure, right? So, you identify what you did in order to achieve these objectives, right? So, you list out all those activities or the initiatives that you have taken on your part to meet these objectives and the standards that you have been able to meet.

In addition to that you are also talking about those factors which have contributed to the your success, and those factors which have not contributed to your success, right? So, you say that you have not been able to increase the revenue, because of these factors you did not make much effort you are not dedicated the stuff was not cooperative.

So, whatever is the reason is you have the economic environment was not good people who have stopped coming to the bank, because of the demonetization. So, there could be a number of factors which was going to affect your revenue or profit. Some of them may be under and your control, some of them may be beyond your control.

So, you are going to write both kind of factors. So, that you know what are the factors which contributed to your success, and which of the factors which are not contributing of your success. And finally, you are going to have your development plan.

So, as a part of your development plan, once your this self-appraisal is done and you have submitted a copy to your senior manager. You are going to again revisit all these KPAs and whether we want to keep them or not you decide about it. Whether you they are going to a part of your KPAs what kind of objectives are going to set for the next year, what will be a standards that you want on it, right? And because, ultimately next year again you are going to be evaluated on the basis that on the that basis only.

So, you create a development plan, and see that whether it will be achievable for the next year or not. And that is how you will be able to complete yourself appraisal and then, you submit a copy to the senior manager your job is done. And then senior manager is going to comment upon that, right?

So, you know that there is a open section where they are going to briefly review your performance, once you have done your job of evaluating yourself the senior manager of the bank is going to review your performance and send it to your file. Which will be used for either developmental purposes, or administrative purposes and that is how self-appraisal happens.

Thank you very much.