

# **UNITE – Your union in National Australia Group**

HOW TO GET  
THE BEST  
OUT OF THE  
APPRAISAL  
PROCESS

THE APPRAISAL  
PROCESS –  
UNITE'S GUIDE  
FOR MEMBERS

[www.unitetheunion.org](http://www.unitetheunion.org)



# UNITE IN NATIONAL

Unite has produced this guide in response to members' queries and our casework representations following interim and annual appraisal meetings and Individual Improvement Plans (IIP) formal meetings initiated by NAG managers.

We hope this will provide clarity around the process and how you can challenge decisions you are not comfortable with.

## WHY IS MY APPRAISAL RATING SO IMPORTANT?

Your quarterly and annual PMF rating determines your annual pay award and bonus. If you receive an unsatisfactory Needs Improvement rating, you can face entry to the formal IIP process which could result in you being exited from the organisation. You will not be placed on IIP if you have received an Unsatisfactory or Needs Improvement rating as a result of a gateway change that was imposed via the disciplinary process.

This guide will show you the agreed appraisal process for appraisers and appraisees throughout the performance year. If your scorecard objectives have changed or you have been placed on an Amber or a Red gateway for behaviours you don't feel are justified, you should discuss these with your manager immediately and refer to the Unite Workplace reps for further advice.

## UNITE WILL SUPPORT MEMBERS IN CHALLENGING UNACCEPTABLE APPRAISAL RATINGS.

*"I have been a Union member for 32 years and this is the first time I have needed their help. The guidance and support I have had through this process have been more than worth my 32 years' membership contributions."*

Tony from Yorkshire Bank

*"I would not have had the confidence to challenge my appraisal rating if I had not had the support of my Union rep. The outcome was in my favour and for that I cannot thank my Union enough."*

Sandra from Clydesdale Bank

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## THE AGREED APPRAISAL PROCESS

### • Throughout the Year

Ongoing coaching and support should be provided by your line manager. You should be having monthly discussions so that your quarterly, mid year and year end ratings are not a surprise. If there are any performance issues, these should be highlighted and discussed fully. An action/development plan must be fully discussed and agreed jointly ensuring all points are realistic and achievable. We would recommend that any action/development plan should be reviewed on a weekly basis to ensure there are no problems and that you have the required support.

### • 360° Feedback

This is generally used for more senior levels in the organisation and should be applied in an open and transparent manner. The recipient should know who will be approached for feedback and the timetable and communications should be clear. It is not to be used selectively and negatively in appraising members.

If you are unhappy with the way 360° feedback has been used in determining your appraisal, please contact your Union rep for advice.

### • Year End Rating and Next Year's Objective Meeting

At this meeting, you and your line manager will discuss and agree your targets and objectives for the coming year. You will also go through your new scorecard and how you will be assessed against each area.

If you are in agreement with your rating, then the process is concluded. There should be no surprises with your year end rating.

If you disagree with your PMF rating, discuss it with your line manager and ensure that this is noted in the comments section of your scorecard. Do not sign the scorecard if you don't agree the rating (see later section for how to challenge your rating).

### • Bonus

Your manager will take you through the bonus scheme that affects you and how you can achieve your bonus for the coming year.

**or call the recruitment hotline free 0800 587 1222**



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- **The basics**

- 1-2-1's should be face-to-face, unhurried and away from any distractions.
- Your end of year rating meeting should also be used to agree scorecard objectives for the coming year.
- Ongoing coaching and support should be provided throughout the year by your manager with quarterly meetings an integral part of your support.
- There should be no surprises.

- **Gateways**

In recent years Behaviour and Compliance gateways have been introduced into NAG's appraisals, which in turn affect your final score. As with your ratings, these must be justified and should not come as a surprise. Anything that may be affecting your gateways must be brought to your attention to allow an action/development plan to be put in place to assist in the gateways moving back to Green.

### *Impacts of Quality Gate Rating on Performance Rating and Short Term Incentive*

A Quality Gate Rating can impact an employee's overall Performance Rating. For example, if an employee achieved a Performance Rating of 'Commendable' based on achievements against Scorecard objectives, but is rated Amber on either Quality Gates, their Performance Rating would be automatically revised to 'Fully Competent - Medium'.

Whilst receiving an Amber rating on a Quality Gate is achieving an acceptable standard, the Performance Rating is adjusted to reflect an incentive payment of not greater than target (or 100%).

In summary:

Rating	Impact on Performance Rating	Impact Incentive (Bonus)
Green	Can be Outstanding or Commendable or Fully Competent	Eligible for incentive
Amber	No higher than Fully Competent	Eligible for Incentive
Red	Is Unsatisfactory or Needs Improvement	Ineligible for incentive

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## IT'S UP TO YOU...IT IS A JOINT PROCESS

Managers receive training in conducting PMFs and it is up to you to ensure the agreed process is followed. Unite members need to ensure they have had quarterly reviews and a year end appraisal. You should complete a scorecard that you take along to your reviews to discuss with your line manager to compare with their rating. The discussions should be formed around these. Both you and your line manager require to have proof to support your ratings in the different areas of the scorecard. The agreed scorecard and rating for each quarter and year end must be completed and signed at the time.

Members should ensure that account is taken of other factors influencing scorecard outcomes. Keep a performance diary detailing any responsibilities you have had to take on and track obstacles to achieving objectives such as unrealistic targets, staff shortages, workload, additional responsibilities periods of deputising and any other relevant factors.

Ask for a note to be made of these factors on your assessment form.

The PMF rating given should be agreed and understood prior to the conclusion of the meeting so there is no doubt about your rating.

**IT IS NOT ACCEPTABLE THAT YOU ARE GIVEN A RATING WITHOUT HAVING YOUR YEAR END MEETING WITH YOUR MANAGER FIRST.**

## UNHAPPY WITH YOUR RATING? NEXT STEPS

If you are unhappy with the rating and it is subsequently imposed, then you should take the following steps:

1. **Review** scorecard expectations and supporting documentation which clearly defines evaluation rating expectations for your role.
2. **Reflect** on the quarterly 1-2-1 review conversations, documentation and other KRA evidence you have to ensure your progress and achievements against KRAs have been recognised.
3. **Talk** to your line manager and explain how your performance evidence supports your performance evaluation. Ask your line manager to explain their evaluation of your performance, the evidence behind it and what account they have taken of any circumstances which got in the way of you achieving your objectives.
4. If your concerns are still not resolved, then you should submit a letter in writing to the review manager and request a meeting. Your manager will be able to tell you who this is.
5. If the matter is still not resolved, then contact your Union representative for support and further advice.

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## PERFORMANCE RATINGS AND WHAT THEY MEAN

Rating Label	Rating Description
1	<b>Outstanding</b> – Performance is of an exceptional level, exceeding objectives and adding significant, measurable value, above expectations, to the business. Can also be described as an Exemplary Contributor.
2	<b>Commendable</b> – Performance clearly exceeds objectives, resulting in additional, measurable value, above expectations, to the business. Can also be described as a Significant Contributor.
3	<b>Fully Competent</b> – Performance consistently meets the objectives and expectations for the position and achieves planned outcomes. Can also be described as a Valued Contributor.
4	<b>Needs Improvement</b> – Currently not meeting all objectives and planned outcomes although may have met some objectives and planned outcomes and is progressing towards achieving all objectives and planned outcomes. Performance is not at the required level.
5	<b>Unsatisfactory</b> – Did not meet expectations: job performance and contributions to the organisation’s goals and results fell short of expectations.
Developing	Employee is new to role and is progressing satisfactorily toward a fully competent performance.
Not evaluated	All new employees to the organisation who have been in a role for less than 3 months will not receive a performance review. The employee has had insufficient time in the role to be objectively assessed on their performance.

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## GATEWAYS

Rating	Essentially This Means...	Typically...
Green	<p>There is no behaviour breach</p> <p>There is no compliance breach</p>	<p>An employee has not had discussion on inappropriate <b>behaviour</b> or non-<b>compliance</b> throughout the year.</p> <p>An employee has had a proactive coaching discussion for <b>behaviour</b> or <b>compliance</b> during the performance year, agreed improvement has been made (there has been no breach, preventative action of a potential breach).</p>
Amber	<p>There has been a minor behaviour breach</p> <p>There has been a minor compliance breach</p>	<p>An employee has had informal (coaching) discussions during the year for <b>behaviour</b> or <b>compliance</b> breach and agreed improvement may or may not have been made.</p> <p>An employee has had a formal discussion for <b>behaviour</b> or <b>compliance</b> breach at some time during the performance year, but will have made agreed improvement. Formal action will not have reached 'Final Warning' point.</p>
Red	<p>There has been a significant or repeated minor behavioural breach</p> <p>There has been a significant or repeated minor compliance breach</p>	<p>An employee will have had a formal discussion for <b>behaviour</b> or <b>compliance</b> breach and may or may not have made agreed improvement. Formal action will have passed 'First Warning' point.</p>

## CORPORATE PRINCIPLES

The Company's Corporate Principles state NAG treats everyone with fairness and respect and that decisions are made in a reasonable and consistent manner. This includes quarterly and annual appraisals. If you are uncomfortable with any aspects of the appraisal process, then call Unite Senior reps or local Workplace reps for support and advice or e-mail the NAG helpline on [NAG@unitetheunion.org](mailto:NAG@unitetheunion.org)

## FREQUENTLY ASKED QUESTIONS

- Q. My manager has e-mailed my completed scorecard with final rating on it with no discussion.
- A. 1-2-1's and appraisals should always happen face-to-face, any other way is unacceptable. Ask your line manager for a meeting immediately to discuss.
- Q. During my appraisal my rating was not as I thought and my objectives had changed from the beginning of the year.
- A. The goal post should not be changed without staff being fully informed. Managers cannot make up the rules of the game. Contact Unite.
- Q. I work reduced hours and don't feel that my manager values my contribution in the same way as my full-time colleagues.
- A. You should be treated in the same way as everyone else is in your appraisal. Contact Unite.
- Q. My manager has rated me Red in my gateways which means I won't be rewarded with a bonus or a pay rise for all my hard work this year.
- A. Everyone starts the year on a Green gateway for behaviours or compliance. It will only change if you do something that warrants a gateway change as per gateway guidelines. These are very clear. If you don't feel your gateway is warranted, contact Unite.

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