



## HR-RELATED SKILL DEVELOPMENT

# Appraisal interviews

Performance appraisal is not a precise science but a subjective judgement. There are some guidelines that may, however, increase an employee's acceptance of the appraisal process and intention to improve performance in the future.

### **Appraisal Interview Short Exercise**

Using the information in this guide, and the following websites which contain sample performance assessment tools and guidelines: ([www.businessballs.com/performanceappraisals.htm](http://www.businessballs.com/performanceappraisals.htm) , [www.cipd.co.uk/subjects/perfmangmt/perfapprsl/](http://www.cipd.co.uk/subjects/perfmangmt/perfapprsl/) , [www.performancereview.com](http://www.performancereview.com) , [www.zigonperf.com/freeresources.asp](http://www.zigonperf.com/freeresources.asp) ), pair up with another student and review and appraise each other's work. Identify realistic measurements and dates of completion.

### **Appraisal Interview Learning Activity**

#### *Objectives*

This learning activity will show you how to conduct an appraisal interview more effectively and equitably.

#### *Procedure note*

This exercise will involve you pairing up with another student and appraising each other's work, using the sample Appraisal Interview Guide (Exhibit 1) provided or it may involve role-playing the characters in the case study, 'City Bank appraisal interview of customer service representative'.

For the case study, divide the class into groups.

Each group has (1) a City Bank manager (conducting the appraisal interview), (2) a City Bank customer service representative, the employee and (3) two observers of the interview.

### **Case Study: City Bank appraisal interview of customer service representative**

#### **Manager's brief**

You are Jennie Anderson, manager at City Bank, and you are planning to conduct the annual performance appraisal of one of your team members Andrew/Amy Enns. He/she has been with the bank for five years and has performed above expectations in all areas of his/her work. However, this year you have had reports of several incidents when he/she expressed minimum amounts of sensitivity towards customers. Also, a customer complained that Andrew/Amy showed little empathy

towards their investment concerns following the events of 11 September, 2001, and showed little understanding of the customer's personal needs. Of further concern was his/her lack of interest in attending a weekend professional development workshop on the use of new software for investment strategies in the 21st century, developed by the Bank's corporate HR department. Discussions with other team leaders have confirmed Andrew/Amy's behaviour over the last twelve months. Using the appraisal interview guide (Exhibit 1), prepare to interview Andrew/Amy Enns.

### **Employee's brief**

You are Andrew/Amy Enns, and you have worked at City Bank for five years and you have always done well in your annual reviews. However, this year things haven't gone so well for you at work. Your mother has been ill and you have broken up with your girlfriend/boyfriend. You have received a phone call from your manager requesting that you meet for the annual performance appraisal. Prepare for this interview with your manager.

### **Analysis and feedback following appraisal interview:**

1. Observers give feedback using Observer's guide, Exhibit 2.
2. Tutor then opens feedback discussion.

After completing the appraisal interview, ask:

1. Is the appraisal process effective and fair?
2. Did the activity illustrate the problems of appraisal?
3. How might you suggest improving the appraisal process?

APPRAISAL INTERVIEW  
EXHIBIT 1: APPRAISAL INTERVIEW GUIDE

CASE STUDY: Customer Service Representative

Applicant's name: \_\_\_\_\_  
Interviewer's name: \_\_\_\_\_  
Interviewer's title: \_\_\_\_\_  
Interview location: \_\_\_\_\_  
Interviewed for: \_\_\_\_\_  
Interview date: \_\_\_\_\_

**Introductory Interview**

Would you please start by giving me a brief summary of your work history/past background.

---

---

Tell me about your present work responsibilities/activities.

---

---

What are some of the things you have done particularly well?

---

---

What are some of the things you have found difficult to do?

---

---

How did you get your job(s)/acquire these experiences?

---

---

What were the reason(s) for leaving your job(s)/making changes?

---

---

**Behaviour-focusing questions**

**Customer service**

*Service orientation behaviours*

**AN EFFECTIVE CUSTOMER SERVICE REPRESENTATIVE IS COMMITTED TO PROVIDING CONSISTENT SUPERIOR SERVICE AT ALL TIMES TO HIS/HER CUSTOMERS.**

**GIVE ME AN EXAMPLE OF WHEN YOU SPENT TIME AND EFFORT TO PROVIDE A SUPERIOR SERVICE TO A CUSTOMER/PERSON.**

**PROBING QUESTIONS**

**INTERPRETIVE GUIDE**

\* What was the *service* that the customer/ person *asked for* and how did you respond?

\* Determine whether the candidate *responded quickly and effectively*

\* What did you do to make the *customer/ person* feel that you *cared*?

\* Did the candidate *demonstrate a genuine desire* to help?

\* What kind of *commitments* did you make to the customer/person and how did you follow through (if needed)?

\* What *follow-up* did he/she pursue to ensure customer/person satisfaction?

\* How much *effort* was *required* to ensure customer/person satisfaction?

\* Evaluate the *degree of effort* that was *put* into service delivery.

\* How did you know that the *service* you were providing *exceeded* the customer's/ person's *expectations*?

\* Did the example provide *sufficient evidence* of superior service?

---

---

---

---

---

---

---

---

## Sales and product proficiency

### *Knowledge application and sales promotion behaviours*

**CUSTOMER SERVICE REPRESENTATIVES ARE EXPECTED TO PROMOTE BACK PRODUCTS WHILE MAINTAINING EFFECTIVE CUSTOMER RELATIONSHIPS.**

**DESCRIBE A TIME WHEN YOU HELPED/PERSUADED A CUSTOMER/PERSON TO PURCHASE/USE A PRODUCT OR SERVICE BY EXPLAINING ITS POTENTIAL BENEFITS.**

#### **PROBING QUESTIONS**

- *What was the product?*
- How did you *acquire* your *knowledge* of the product?
- How did you *determine* the customer's/person's *needs*?
- *Why* did you decide to *sell/persuade* the customer/person to use *this product*?
- How did you *persuade* the customer/person to *purchase/use this product*?
- *How often* in the past six months have you *had* this kind of *opportunity*?
- What aspects of the situations *demonstrate* your *strengths* and *weaknesses* in selling/persuading others?

#### **INTERPRETIVE GUIDE**

- Evaluate the extent of *effort* that was *applied*.
- Discover if he/she *pro-actively identified* the customer's *needs*.
- Determine whether he/she *understood* needs from the *customer's/person's perspective*.
- How *effective* was he/she in *explaining* the potential *benefits* relative to the customer's/person's *needs*.
- Determine the extent to which he/she is *interested* and is *able* to identify needs and *sell/persuade* others.

---

---

---

---

---

## Thoroughness and motivation

### *Thoroughness and motivational behaviours*

**EFFECTIVE CUSTOMER SERVICE REPRESENTATIVES TAKE STEPS TO ENSURE THAT TASKS ARE DONE CORRECTLY AND COMPLETELY, ESPECIALLY DURING BUSY PERIODS.**

**TELL ME ABOUT ONE OF YOUR CHALLENGING ASSIGNMENTS, WHERE QUALITY WAS OF GREAT IMPORTANCE.**

#### PROBING QUESTIONS

- What was the *assignment* and its biggest *challenges*?
- What did you do to *complete* the task on *time*?
- Did you *accomplish* your *objectives*?
- What were the *results*?
- How did you *feel* after *completion* of the assignment?

#### INTERPRETIVE GUIDE

- Did it *require* well-developed *knowledge*, thoroughness and *accuracy*?
- Determine whether the candidate *sustained* a high level of *effort* and commitment.
- Determine whether the candidate *met* the *challenges*.
- What *evidence* was provided as to the *effectiveness* of the results?
- Did the candidate feel proud and have a *sense of accomplishment* or *feel* simply that it was a *necessity*?

---

---

---

---

---

## Interpersonal relationships

### *Relationship-building behaviours*

**HAVING GOOD WORKING RELATIONSHIPS WITH EACH OTHER IS IMPORTANT FOR ALL OF US WORKING AT THE BANK.**

**DESCRIBE A TIME WHEN YOU MADE A SPECIAL EFFORT TO BUILD A RAPPORT WITH SOMEONE (AT WORK), WHEN THE SITUATION WAS A DIFFICULT ONE.**

#### PROBING QUESTIONS

- How did you go about *developing* this *relationship*?
- How did you *demonstrate understanding* or sympathy in helping build the relationship.
- How did you *check for feedback* and understanding?
- What kind of *people* do you *find easiest* and most *difficult* to develop working relationships with?
- What are the special *aspects* of the *situation* that best *demonstrate your strengths and weaknesses* in building relationships?

#### INTERPRETIVE GUIDE

- Observe whether the candidate is *capable of building* a trusting and *harmonious relationship*.
- Determine whether the candidate is *able to be genuinely sympathetic*.
- Did the candidate *substantiate* his/her perceptions *by feedback*?
- Identify the kinds of people he/she *relates to most and least successfully*.
- *Determine whether* the candidate develops and *sustains* long-term productive working *relationships*.

---

---

---

---

---

**Technology and learning**

*Learning acquisitions and application behaviours*

**THE EVOLVING BANK INDUSTRY REQUIRES EMPLOYEES TO ACTIVELY PARTICIPATE IN THE PROCESS OF LEARNING THROUGHOUT THEIR CAREERS, UPGRADING THEIR SKILLS AND ADAPTING TO CHANGE.**

**DESCRIBE YOUR EDUCATIONAL BACKGROUND AND HOW YOU HAVE APPLIED YOUR ACADEMIC KNOWLEDGE IN THE WORK ENVIRONMENT.**

**PROBING QUESTIONS**

- What kind of *courses* or sorts of *curriculum* did you *focus on* during your education in high school/college/university?
  
- What were the subjects you *did best* in and those you *did least well* in?
  
- Have you taken *computer*-related courses? What kind? When?
  
- What *additional courses* have you taken recently (or since graduation)?
  
- How do you *apply* your *education* to the *work environment*?

**INTERPRETIVE GUIDE**

- Determine whether the candidate had clear *educational goals*.
  
- Determine whether he/she *earned* any academic *honours* or *encountered* any scholastic *problems*.
  
- Determine whether he/she takes the *initiative* to *increase his/her skill level* to deal with informal technology.
  
- How strong is his/her *commitment* to *continuing education*?
  
- Determine whether he/she is *capable* of *applying* successfully his/her academic *knowledge* to the work environment.

---

---

---

---

---



**Organizational efficiency**

*Organizational behaviours*

**EFFECTIVE CUSTOMER REPRESENTATIVES DEVELOP AND MAINTAIN SYSTEMS TO ASSIST THEM TO ORGANIZE AND PRIORITIZE TASKS.**

**DESCRIBE A SITUATION WHEN YOU EXPERIENCED SOME DIFFICULTIES HELPING A CUSTOMER/PERSON (OR COMPLETING A TASK) BECAUSE YOU COULD NOT REMEMBER SOME IMPORTANT INFORMATION OR DID NOT HAVE THE INFORMATION HANDY.**

**PROBING QUESTIONS**

- What was the *information* that you did not have?
- What were the *reasons* for *not having* this information?
- What *difficulties* did not having the information cause you?
- Where did you *find* the missing *information* and how long did it take?
- *How could* you have *prevented* this problem?
- What did you *learn* from the *experience*? Have you had an opportunity to put this knowledge into practice?

**INTERPRETIVE GUIDE**

- Determine whether the candidate *failed to remember* important *information* and/or *develop* a *reference system*.
- Did it *result* in the delivery of poor and *slow service* and a *frustrated customer/person*?
- Did he/she ask *another person for assistance*? How quickly?
- *Why* did he/she *fail* to *develop* a *reference system*?
- Has he/she had the same or similar problem(s)? Has the candidate *built* a *system* to assist him/her to *organize* and *prioritize tasks*?

---

---

---

---

---

**Forward-thinking and creative problem-solving**

*Forward-thinking and creative problem-solving behaviours*

**THE CUSTOMER SERVICE REPRESENTATIVE ROLE CAN BE MADE EASIER BY FINDING NEW AND BETTER SOLUTIONS TO PROBLEMS.**

**DESCRIBE A TIME WHEN YOU USED GOOD JUDGEMENT AND PROBLEM-SOLVING SKILLS TO RESOLVE A CHALLENGING PROBLEM.**

**PROBING QUESTIONS**

**INTERPRETIVE GUIDE**

- *What was the problem?*

- *How did you approach solving the problem?*

- *What was your solution to the problem?*

- *How was this solution better or different?*

- *What were the results?*

- *How did you confirm the effectiveness of the solution?*

- Did the candidate *think ahead* and *anticipate the impact* of his/her action?

- Determine whether the candidate *demonstrated good judgement*.

- Did the candidate use *new ways of thinking* for finding better solutions?

- What *evidence* was there as to the *effectiveness* of the solutions?

-Did he/she *confirm* the effectiveness *with others*?

---

---

---

---

---

**Closing questions**

HOW WOULD YOU ASSESS YOUR PERFORMANCE OVER THIS PAST YEAR?

---

WHAT ARE YOU LOOKING FOR IN A JOB? WHAT IS IMPORTANT TO YOU AND WHAT DO YOU WISH TO AVOID?

---

WHAT TYPE OF POSITION WOULD YOU LIKE TO BE HOLDING SEVERAL YEARS FROM NOW? WHY WOULD THAT TYPE OF POSITION APPEAL TO YOU?

---

IF CURRENTLY EMPLOYED, WHAT IS YOUR PRESENT SALARY? BENEFITS?

---

WHAT ARE YOUR SALARY EXPECTATIONS?

---

WHICH PART OF THE CITY/AREAS ARE YOU ABLE AND WILLING TO WORK IN? ARE YOU WILLING TO WORK IN MORE THAN ONE BRANCH DURING YOUR WEEKLY SCHEDULE?

---

ARE THERE ANY CONDITIONS THAT COULD AFFECT YOUR ABILITY TO DO THE JOB?

---

COULD YOU GIVE ME THE NAMES OF TWO PEOPLE TO CONTACT TO CONFIRM THE INFORMATION YOU HAVE PROVIDED TODAY?

---

---

## Evaluation and recommendation

### Summary of interview comments

#### BEHAVIOURS

#### COMMENTS

Service orientation behaviours

---

---

---

Communication behaviours  
(evidence from competencies)

---

---

---

Knowledge application and sales  
promotion behaviours

---

---

---

Thoroughness and motivational behaviours

---

---

---

Relationship-building behaviours

---

---

---

Learning acquisition and application  
behaviours

---

---

---

Organizational behaviours

---

---

---

Forward-thinking and creative problem-  
solving behaviours

---

---

---

## Summary of candidate's scores

### BEHAVIOURS

#### 1. Service orientation behaviours

Ratings				Score weight total
<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b> x3
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Very strong evidence behaviours are not present	Strong evidence behaviours are not present	Some evidence behaviours are present	Strong evidence behaviours are present	Very strong evidence behaviours are present

#### 2. Communications behaviours (evidence from all competencies)

Ratings				Score weight total
<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b> x2
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Very strong evidence behaviours are not present	Strong evidence behaviours are not present	Some evidence behaviours are present	Strong evidence behaviours are present	Very strong evidence behaviours are present

#### 3. Knowledge application and sales promotion behaviours

Ratings				Score weight total
<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b> x2
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Very strong evidence behaviours are not present	Strong evidence behaviours are not present	Some evidence behaviours are present	Strong evidence behaviours are present	Very strong evidence behaviours are present

#### 4. Thoroughness and motivational behaviours

##### Ratings

Score weight total

<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>x2</b>	<b>_____</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>		
Very strong evidence behaviours are not present	Strong evidence behaviours are not present	Some evidence behaviours are present	Strong evidence behaviours are present	Very strong evidence behaviours are present		

#### 5. Relationship-building behaviours

##### Ratings

Score weight total

<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>x2</b>	<b>_____</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>		
Very strong evidence behaviours are not present	Strong evidence behaviours are not present	Some evidence behaviours are present	Strong evidence behaviours are present	Very strong evidence behaviours are present		

#### 6. Learning acquisition and application behaviours

##### Ratings

Score weight total

<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>x1</b>	<b>_____</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>		
Very strong evidence behaviours are not present	Strong evidence behaviours are not present	Some evidence behaviours are present	Strong evidence behaviours are present	Very strong evidence behaviours are present		

## 7. Organizational behaviours

### Ratings

Score weight total

<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>x1</b>	<b>_____</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>		
Very strong evidence behaviours are not present	Strong evidence behaviours are not present	Some evidence behaviours are present	Strong evidence behaviours are present	Very strong evidence behaviours are present		

## 8. Forward-thinking and creative problem-solving behaviours

### Ratings

Score weight total

<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>I</b>	<b>x1</b>	<b>_____</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>		
Very strong evidence behaviours are not present	Strong evidence behaviours are not present	Some evidence behaviours are present	Strong evidence behaviours are present	Very strong evidence behaviours are present		

## Employment Recommendation

NOT RECOMMENDED FOR FURTHER CONSIDERATION BY CITY BANK FOR THE REASON(S) INDICATED BELOW:

\_\_\_ Evidence of effective customer service-related behaviours (first four competencies) is low

\_\_\_ Overall evidence of effective competency profile-related behaviours is low

\_\_\_ Career goals and expectations cannot be satisfied

\_\_\_ Salary expectations cannot be satisfied

\_\_\_ Other (please describe)

---

---

NOT RECOMMENDED FOR FURTHER CONSIDERATION FOR MY DIVISION/COMMUNITY. HOWEVER, CANDIDATE SHOULD BE REFERRED TO THE FOLLOWING AREAS:

1. \_\_\_\_\_  
\_\_\_\_\_

2. \_\_\_\_\_  
\_\_\_\_\_

\_\_\_ RECOMMENDED FOR SECOND INTERVIEW

\_\_\_ RECOMMENDED FOR HIRE; OFFER FOR THE POSITION REFERRED TO BELOW:

TITLE/GRADE: \_\_\_\_\_

SALARY/ COMPA RATIO: \_\_\_\_\_

COMMUNITY NAME: \_\_\_\_\_

BRANCH TRANSIT/NAME: \_\_\_\_\_

\_\_\_\_\_ Date: \_\_\_ / \_\_\_ / \_\_\_\_\_

Interviewer's signature



## APPRAISAL INTERVIEW

**Case Study: City Bank appraisal interview of customer service representative**

### EXHIBIT 2: OBSERVER'S GUIDE

Using the following guide, evaluate the interview skills of the *appraiser*. Note: Excellence is (1) and (5) needs significant improvement.

	1	2	3	4	5
1. Did the appraiser <i>open</i> the interview satisfactory by greeting the employee and explaining the purpose and structure of the appraisal interview?					
2. Did the appraiser create a relaxed and positive atmosphere?					
3. Did the appraiser probe with: what, who, how, why and ask for examples? Listen carefully during the employee's self-appraisal?					
4. Did the appraiser sum up the employee's overall assessment accurately?					
5. When presenting areas of <i>agreement</i> , did the appraiser explain how judgements were made?					
6. When presenting areas of <i>disagreement</i> , did the appraiser give specific examples for clarity and to support judgement?					
7. Did the appraiser respond to arguments and explain why she/he disagreed?					
8. Did the appraiser involve the employee in generating final performance objectives?					
9. Did the appraiser explain what she/he could do to help the employee develop and meet objectives?					
10. Did the appraiser <i>close</i> the interview satisfactorily by summarizing the action plan, and thank the employee for her/his cooperation?					