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| **Appraisal Record**  |  |
| **Name:** |  |
| **Job title:** |  |
| **Appraiser:** |  |
| **Date:** |  |

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| **Guidance Notes*****Overview*** *The firm is committed to providing a working environment where staff can achieve their potential whilst at the same time making a contribution to the success of the firm. The appraisal process forms a fundamental part of the firm’s overall performance management framework as set out in its Performance Management Policy document. This means a commitment to learning and development and to establishing an atmosphere that encourages staff to participate in the improvement of the business.* ***The appraisal****The primary aim behind the appraisal scheme is to assess if the firm is doing the maximum possible to assist staff to meet the objectives of their jobs. Appraisal interviews also provide an opportunity to review the previous year and to allow you and your appraiser to identify learning and development opportunities. The result of the interview will be a plan that will identify steps to allow you to develop your skills, knowledge and experience. All members of the firm will receive an annual performance appraisal designed to assist them in identifying and meeting challenges related to their work. It is the firm’s policy that these appraisals should be developmental and two-way allowing everyone an opportunity to make a constructive contribution to improving the performance of the firm. The appraisal session will last for half-an-hour to one hour. It is the firm’s aim to keep appraisals as informal and friendly as possible. They are not about blame and criticism but about establishing objectives for the future, in which both you and the firm have a common interest.* ***Preparation****In order to maximise the value of the appraisal you need to carefully prepare for the interview. Try and come to the interview prepared with some idea of what you would like to get out of it. Carefully review your previous appraisal record (if any) and consider your performance against the objectives set for you. You should also review your Role Profile/Job Description. In addition, you should study the Learning and Development Plan prepared at the previous performance appraisal and records of learning and development activity undertaken.* *The firm’s appraisal system is a fundamental component for complying with the requirements of the SRA ‘Continuing Competence’ regime. Solicitors should familiarise themselves with the SRA* [*Competence Statement*](http://www.sra.org.uk/solicitors/competence-statement.page)*, the* [*Statement of Legal Knowledge*](http://www.sra.org.uk/knowledge) *and the* [*Threshold Standard*](http://www.sra.org.uk/threshold)*. Section 6 of this form has been designed to incorporate a review of how Solicitors comply with the competence requirements. Non-Solicitor members of the firm are not required to complete this section.****Recording****It is most important that the result of the appraisal is one that you feel confident will assist you to develop within the firm. Once completed, this record will be agreed and signed by both appraise and appraiser and you will both keep a copy, which you will review at your next appraisal. Finally, try not to be nervous and remember that this is an opportunity for you to comment on how the firm, as well as yourself, is performing. Each appraisal should result in the preparation of a Learning and Development Plan. This will aim to record any priority learning and development needs required over at least the next 12 months and agreed at the appraisal.*  |

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| **1. Review of performance***Consider how you feel the previous year has gone, both for you and the firm as a whole. In preparation, you may wish to consider what you think have been the most important events in the last year and the work you feel most satisfied about completing. In particular, you should consider your performance against the objectives set at your previous performance appraisal.* |
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| **2. Review of learning and development activity***Consider all the learning and development activities you have undertaken during the past year. Have all needs identified in the previous Learning and Development Plan been addressed? How effective have the learning and development activities been? Could they have been improved? Did they offer value for money and have you put them to good use subsequently?* |
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| **3. Identification of skills and strengths***The firm needs to know about your strengths, particularly if you have special skills that are currently not being used. Consider those abilities you use in your job and which you feel are the strongest. This might relate to tasks you perform well and quickly, an ability to work effectively under pressure, or skills in presenting yourself (and therefore the firm) to clients. These will be discussed at the appraisal and thought given to any ways these can be better employed by the firm to improve overall performance. It is also a chance for the firm to give credit for your abilities.* |
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| **4. Identification of skills gaps and development needs***Consider those areas where you feel you are not performing as well as possible. It is important to stress that this is not done with the intention of laying blame or making negative criticism. Likewise it will not be used as an occasion to go over old mistakes that might have been made. On the contrary, the discussion is primarily to allow you to request the support or learning you need to address the areas you identify as those where you feel weakest. If you prepare this way it should make your appraisal more effective. It is always difficult to be frank and honest about our own development needs. However, to get the most out of your appraisal you will need to be as open about these as possible. It is important to remember that the firm has a genuine need for all staff to be performing as effectively as possible and so has every reason to want to assist you to develop and improve.* |
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| **5. Review of Role Profile/Job Description***Appraisals offer an opportunity for reviewing Role Profiles/ Job Descriptions to ensure that they adequately define the role and responsibilities of the post holder and the needs of the firm.*  |
| **Has the relevant Role Profile/Job Description been reviewed?** *Please add any comments below if necessary.* |[ ]  Yes |[ ]  No |
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| **6. Competence Statement (to be completed for Solicitors only)***In order to comply with the SRA ‘Continuing Competence’ system, the Appraisee and Appraiser should review how well the individual meets the competence descriptors set out in the of SRA Competence Statement. The descriptors below are by necessity only summaries of the full competences and the full* [*Competence Statement*](http://www.sra.org.uk/solicitors/competence-statement.page) *should be referred to for completeness. Competence Levels are set out in the SRA* [*Threshold Standard*](http://www.sra.org.uk/threshold)*. Level three is the threshold standard required at the point of qualification.* |
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|  | **Competence Level**  |
| **Competence descriptors** | **1**Lowest | **2** | **3**Threshold  | **4** | **5** Highest |
| **A. Ethics, professionalism and judgement*** *Act honestly and with integrity*
* *Maintain the level of competence and legal knowledge*
* *Work within limits of competence and supervision*
* *Draw on a sufficient detailed knowledge and understanding of field(s) of work*
* *Apply understanding, critical thinking and analysis to solve problems*
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| **B. Technical legal practice*** *Obtain relevant facts*
* *Undertake legal research*
* *Develop and advise on relevant options, strategies and solutions*
* *Draft legally effective and accurate documents*
* *Undertake effective spoken and written advocacy*
* *Negotiate solutions to clients' issues*
* *Plan, manage and progress legal cases and transactions*
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| **C. Working with other people, including clients*** *Clear and effective oral/written communications*
* *Effective professional relationships with clients*
* *Effective professional relationships with others*
 |[ ] [ ] [ ] [ ] [ ]
| **D. Managing yourself and your own work*** *Managing work activities efficiently, on time and to an appropriate standard*
* *Maintain accurate, complete and clear records*
* *Apply good business practice*
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| **Additional comments** |
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| **7. Looking forward - objectives***Reflecting back on the earlier discussion about strengths, skills gaps and development needs, aim to agree with your appraiser a clear set of performance objectives for the next 12 months. These should address the needs identified in earlier sections. The aim is to set goals which, in a year’s time, it will be possible to prove have been achieved. This might be by reference to a qualification gained or through evidence of improvement in work performance; for example, the successful performance of new responsibilities or quicker and more efficient work. It is also important that you do not agree targets with your appraiser that you feel are too demanding and at which you are likely to fail. A useful way to remember how best to set targets is that they should be SMART, that is: (S)pecific (M)easurable (A)greed (R)ealistic (T)imed* |
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| **8. Learning and Development Plan** |
| **Has a Learning and Development Plan been prepared?** |[ ]  Yes |[ ]  No |

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| **Signed (appraisee):** |  | **Date:** |  |
| **Signed (appraiser):** |  | **Date:** |  |