

# UPWARD APPRAISAL TOOL

*We developed our exclusive **Upward Appraisal Tool** to provide an effective means to receive constructive feedback from those whom we manage. After all, it is these individuals who are best equipped to provide useful information so that we may grow and evolve as managers.*

## GETTING STARTED:

- 1 *Read the instructions on the Upward Appraisal Process sheet for managers.*
- 2 *Give the Upward Appraisal Survey to the employees who will be providing feedback. Be sure to follow the provided instructions to achieve the best results.*
- 3 *Review the completed Upward Appraisal Survey with each employee and openly discuss the feedback he/she provided you.*
- 4 *Reflect on the feedback you received and adjust your management style as needed to continually improve.*

*Want help navigating the results? Contact us to start improving your self-awareness, your business, and growing your leaders..*

## Manager Instructions

1. Set the proper context for the upward appraisal
  - a. Choose a good time (HINT: NOT during or immediately after their performance review)
  - b. Hand it to the individual
  - c. Describe why you are asking for their appraisal □ You want to become better as a leader-manager, and could use their help
  - d. Tell them that the survey will go back to you, and to no one else directly
  - e. Encourage honesty, requesting that they err on the side of being overly critical, as that will be most helpful to you. (you may need to go to extra lengths to convey that you will not be punitive)
  - f. Let them know that you will follow up personally to get clarification.
  - g. Give a deadline for returning it
2. Wait
3. When you get the appraisal back:
  - a. Read it for the first time in private (i.e., don't read it as they hand it to you)
  - b. Take a deep breath
  - c. Remind yourself that if you want to improve, you must first be willing to suck it up and face reality ... and to some extent, perception is reality
  - d. Don't get defensive □ your goal is to listen ... not to defend
  - e. Think through which items need clarity
  - f. Rehearse how you might ask for clarification, and how you might respond (verbally and non-verbally)
4. Meet with the person:
  - a. Remind yourself that they are doing you a service – even if it is a painful one.
  - b. Thank them for their help
  - c. Ask questions to clarify any ambiguous ratings
  - d. Don't get defensive □ your goal is to listen ... not to defend
  - e. Discuss realistic adjustments that you may be able to make
  - f. If necessary, clarify what you are not willing to change
  - g. Communicate what you may need from them to help you make changes
  - h. Thank them for helping you
5. Talk with your supervisor (or peer)
  - a. Identify what you learned through the process
  - b. Identify what changes you would like to make, and how you plan to make them
  - c. Identify a mechanism for holding yourself accountable for the changes
6. Demonstrate that the feedback was helpful
  - a. Demonstrate behavior change
  - b. Consider telling the employee what you are working on as you have subsequent interactions with them (To the extent they see that constructive feedback is helpful, they will be more willing to provide it in the future. People feel valued when they know their contribution made a difference)

# Upward Appraisal Survey

EMPLOYEE

I am interested in improving my performance as your manager, and would appreciate your help. Please respond to each of the following questions by placing a hatch mark at the point along the line that best captures your opinion of my performance or behavior (example: / ). Please err on the side of being overly critical, as that is most likely to help me identify how I can improve. When you are finished, please write your name in the space at the bottom of the page, and return the survey to me. We can then arrange a time to follow up face-to-face so I can be sure to get an accurate understanding of your perspective. No one is requiring me to do this, and I do not plan to show your responses to anyone else; however, I may incorporate what I learn from this process into my own performance goals. Be sure to write your response to question #17 on the back of this page, and feel free to add other comments. Thanks for taking the time to do this.

\_\_\_\_\_  
Supervisor/Manager Name

1. Are my instructions clear or must you spend time trying to figure out what I want you to do?  ●—————● <b>Unclear</b> <b>Crystal Clear</b>	2. Do I operate in a crisis mode too often?  ●—————● <b>Too crisis-oriented</b> <b>Calm &amp; Collected</b>
3. Am I open to new ideas?  ●—————● <b>Closed</b> <b>Open</b>	4. Do I often suggest changes in your work that don't really improve it?  ●—————● <b>Very often</b> <b>Very Rarely</b>
5. Is my criticism usually constructive?  ●—————● <b>Destructive</b> <b>Constructive</b>	6. Do I change my mind often and ask you to alter your assignments after you have already started working?  ●—————● <b>Very often</b> <b>Very Rarely</b>
7. Do I behave toward you in a trustworthy fashion?  ●—————● <b>Not at All</b> <b>Very Much So</b>	8. Do I allow you to learn by experience, including mistakes?  ●—————● <b>Very Rarely</b> <b>Very Often</b>
9. Do I help you develop your skills?  ●—————● <b>Not at All</b> <b>Very Much So</b>	10. Do you feel that I support you adequately when you have a conflict or problem with management, a co-worker, a client or another party?  ●—————● <b>Not at All</b> <b>Very Much So</b>
11. Am I usually available to you when you need my help?  ●—————● <b>Very Rarely</b> <b>Almost Always</b>	12. Do I show appreciation for your strengths and efforts?  ●—————● <b>Very Rarely</b> <b>Very Often</b>
13. Do I empower you to make decisions on your own when warranted?  ●—————● <b>Very Rarely</b> <b>Very Often</b>	14. Am I reasonable with the demands I place on your time?  ●—————● <b>Unreasonable</b> <b>Very Reasonable</b>
15. Do I treat you fairly?  ●—————● <b>Very Unfairly</b> <b>Very Fairly</b>	16. Do I practice what I preach?  ●—————● <b>Not at All</b> <b>Very Much So</b>

**17) On the back side of this page, please identify two things you wish I would do differently.**

**Name of person completing this survey:** \_\_\_\_\_ **Date:** \_\_\_\_\_