

## **Staff Appraisal and Development Scheme**

### **1. Purpose**

The purpose of appraisal is to review regularly the work, development needs and career aspirations of members of staff in relation to the requirements of their School, Faculty or Division and the University's plans and to take appropriate steps to realise their potential.

It aims to facilitate communication, clarity of tasks and responsibilities in line with the needs of the organisation, recognition of achievements, motivation, and training and development, to the mutual benefit of employer and employees.

### **2. Objectives**

The staff appraisal and development scheme is designed to:

- recognise individual contributions and, within a framework of constructive openness, provide an opportunity for members of staff to discuss with their appraiser their job content, their performance against agreed objectives, and additionally, for academic staff, their workload allocation and research plans
- assist staff in understanding the goals of their School, Faculty or Division and the University and their part in helping to achieve these provide individual members of staff with an opportunity to reflect on their personal performance, to identify strengths and weaknesses and how to improve performance to enable them to reach their potential and their objectives
- help individual members of staff to identify their training and development needs to further develop their careers within the School, Faculty, Division or University
- identify changes in the organisation or operation of the University which would enable individuals to improve their performance
- identify and help to work towards developing potential for promotion, and through the above objectives
- improve the efficiency with which the University is managed.

The scheme is intended to be compatible with the University's equal opportunities policy. In particular, equality of opportunity should be a consideration in the allocation of appraisers and in the provision of resources for follow-up action and staff development.

### **3. Participation**

The appraisal scheme will apply uniformly to all members of staff of the University.

#### **4. Frequency**

The formal appraisal meeting should take place once a year or biennially with the agreement of the Head of School/Division/Department or Director of University Services if requested by members of staff whose length of service within their role is over four years. For members of staff on probation, the appraisal should always be on a yearly basis.

It is recommended that an initial appraisal meeting takes place within the first two months of appointment. This will provide an early opportunity to:

- review the individual's performance thus far,
- review the job description and clarify objectives and/or any concerns,
- identify any immediate and/or longer term training and development needs,
- address any managerial or individual's concerns at an early stage, and
- ensure post-holders of fixed term contracts are included in the process.

Subsequent appraisals will then be incorporated into the annual appraisal timetable of the School/Division/Department.

#### **5. Focus**

It is intended that the various objectives listed in section 2 may at different times assume different levels of importance for individual members of staff and the Faculty or Division in which they work. The appraisal process should be seen as a vehicle for reconciling the business of the University and the interests of the individual member of staff and both aspects should be seen as complementary. The Head of School/Division/Department, or Director of University Services should set broad parameters of direction and expectation with appraisers and appraisees prior to commencement of the annual appraisal cycle to assist in the setting and agreement of individual objectives.

#### **6. Variation**

Local adjustments are possible in order to refine the approach that is most appropriate to the needs and requirements of a specific School, Faculty, Division or a group of staff within any of these. To ensure compliance with the spirit and procedure of the common framework and to ensure a degree of consistency across the University, proposed local variants should be agreed and approved by the Human Resources Division.

#### **7. Appraisal training**

The Centre for Staff and Educational Development (CSED) is responsible for co-ordinating appraisal training programmes and for giving guidance and advice on the

scheme to appraisers and appraisees. Training is mandatory for all appraisers and appraisal briefings are recommended for all appraisees.

## **8. The Appraiser**

Appraisal will normally be conducted by an immediate supervisor or line manager, or by a senior colleague, nominated by the Dean of Faculty/Head of School or Division or Director of University Services, as appropriate, who has a direct relationship with the appraisee's work. Academic Sector Heads and Professors will normally be appraised by the Head of School.

If, with good reason, an appraisee wishes to have an alternative appraiser, she/he will be able to make alternative arrangements with the consent of the Head of School/Division/Department or Director of University Services.

## **9. Planning the Meeting**

The Dean, Head of School/Division/Department, or Director of University Services identifies appraisers and allocates appraisees. Appraisees are notified and asked to complete a self-appraisal form (Parts One and Two of the University Appraisal Form), thereby providing a framework for appraisal discussion regarding her/his work, any concerns, training and development needs, career and personal development plans (see 'Completing the Form' guidelines). Sufficient notice should be given to allow the appraisee to complete the form.

It is essential for every appraisee to be broadly aware of the School, Faculty or Division's future objectives and direction (see section 5). Such information may include short and long term aims and future developments.

The appraiser should arrange the appraisal meeting as soon as possible after receipt of the appraisee's documentation, allowing themselves time to prepare for the meeting, taking into account the content of the self-appraisal and other relevant information, such as previous appraisal records, strategic and operational objectives within their area, support available for development, etc.

## **10. Appraisal meeting**

The form and style of the meeting should allow the appraiser and the appraisee to discuss matters in a relaxed and positive manner. The location of the meeting should offer privacy without interruption. It is also important to allow sufficient time for a full review of the appraisee's performance over the previous year and for joint agreement on a plan of action for the coming year related to objectives, achievable targets and development plans.

The appraisal meeting is an ideal opportunity for the employee and manager to consider the role of the employee against his/her job description, to re-iterate key responsibilities, and to identify variance.

## **11. Confidentiality**

What is said between the parties during the appraisal meeting should remain confidential between the appraiser and appraisee, unless noted as part of the appraisal outcomes on the appraisal form or otherwise agreed. However, it is recognised that where the appraiser is not the line manager, the appraiser will need to provide feedback to the employee's line manager, unless an agreement is reached at appraisal to keep specific information confidential between the appraisee and the appraiser.

## **12. Appraisal records**

The appraisal records are jointly produced by both appraisee and appraiser following the appraisal meeting, with the appraiser completing Part Three of the documentation, and Part Four if appropriate. The final page of the appraisal form (Part Five) may be completed by the appraiser/appraisee to record further comments for release to other members of the University, with the appraisee's consent and via the Head of School/Division/Department or Director of University Services, before forwarding this to the appraisee to add any comments and his/her signature. The form is then returned to the appraiser, who signs it off and provides the appraisee with a copy.

The signed appraisal form (plus any documentation attached to it, which could include an up-to-date curriculum-vitae) should be received by the Head of School/Division/Department or Director of University Services. The appraisal documents will be held in the School/Department and may, with the agreement of the appraisee, be used in other employment matters.

The usual expectation is that the entire appraisal documentation, including the employee's self-appraisal in Parts 1 and 2, will be forwarded to the Head of School/Division/Department or Director of University Services once signed off by the appraiser and appraisee.

The appraisal record or abstracts from it may, with the appraisee's consent, be used in the written submission in support of an application for promotion under the usual but separate procedures.

## **12. Follow-up**

Follow-up action may be the responsibility of one or more people. These include the appraisee in respect of tasks/activities which she or he proposes undertaking over a timescale agreed with the appraiser, and the Head of School/Division/Department or Director of University Services who will be responsible for:

- providing feedback to the appraisee and for the follow-up of action points involving her or him, specifically where the resources required are beyond the personal

resources of the appraisee. Schools and other units are advised to have in place systematic procedures for reviewing such proposals;

- overseeing their equitable management and agreeing such provision as is practicable;
- noting the collective profile, recording training needs which emerge and informing CSED of training requirements.

### **13. Monitoring**

The Head of School/Division/Department or Director of University Services is responsible for the effective running of the process and should ensure appraisers are asked to appraise a realistic number of appraisees. It is recommended that an appraiser should be responsible for not more than seven appraisees.

The Head of School, Department or Division will be responsible for ensuring all eligible staff appraisals are completed on a one year cycle (or a two year cycle, if applicable). Each Head of School/Division/Department or Director of University Services should submit an annual statement to the Director of Human Resources, confirming whether the process has been satisfactorily completed and recording, for all appraisees, the name of the appraiser and the month of the appraisal meeting.

The Human Resources Division will monitor the overall operation of the scheme.

### **14. Cases of disagreement**

If an appraiser and appraisee cannot reach complete agreement about the outcome of an appraisal meeting, there is provision for either or both to add a comment to the appraisal form to this effect. If this action is taken and the appraisee and appraiser agree that the appraisal process has been completed to their satisfaction, the document should be jointly signed and passed to the Head of School/Division/Department or Director of University Services' office for retention.

In a case of serious disagreement between the two parties over the conduct of the appraisal meeting, the completion of the documentation or a failure to agree objectives or action points, either the appraisee or the appraiser may refer the matter to the Head of School/Division/Department or Director of University Services as appropriate. After consideration and consultation with both parties, they will append the appraisee's and/or appraiser's comments to the record. In exceptional circumstances, the Head of School/Division/Department or Director of University Services may arrange another appraisal meeting to be conducted by a different appraiser.

Human Resources Division

## **Academic Staff - Appraisal Checklist**

Before completing Parts One and Two of the Appraisal Form (Self-Appraisal), you should reflect upon and prepare to discuss, with regard to Teaching, Research activity and attainment, Enterprise and Engagement, other academic activities, and related Administration, Management and Leadership:

- whether your achievements in the past year matched your plans/aspirations/objectives from previous appraisals
- how you have measured the effectiveness of your activities (e.g. RAE, QAA, subject review, student feedback, comments from peers, citations, invitations to conferences, PGR supervision, enterprise and engagement, securing funding)
- any restricting factors limiting your effectiveness in any area (e.g. equipment, time, skills)
- whether any of your skills, knowledge or aptitudes are not being fully used or developed at present
- what you hope/expect to undertake and to achieve over the next year
- how you might be assisted in achieving your targets
- your plans for the development of your career in the longer term

Other relevant factors may include:

- contributions to other areas of the University (e.g. committee work, working parties, interest groups)
- contributions to external agencies (e.g. professional bodies, external examining)
- responsibilities in relation to staff or students (e.g. line management, mentoring, informal support of colleagues)

**Appendices B and C of the Green Book (Rules and Procedures relating to the Terms and Conditions of Appointment, Determination of Salary, Advancement and Promotion of Members of Academic Staff) will assist in your self appraisal by providing:**

- examples of activities and attainments with regard to Teaching, Research, Enterprise and Engagement, other academic activities and related Administration, Management and Leadership in each of these categories to draw upon as reminders of your achievements or act as prompts for future objectives
- assessment standards used in the promotions process relating to confirmation of appointment and promotion.

The Green Book is available on the HRD intranet under Promotions and Grading.

**ATR members of staff (including those on probation) are also asked to include in their appraisal documentation the following information:**

### **Research achievements**

In summarising your research activities, please list for the previous 3 years your:

1. **research publications** listing by peer-reviewed journal articles, other articles, chapters in books, other publications including conference abstracts. Include those in press;
2. **submission of research proposals** indicating your role in each, your co-applicants, which were successful, dates, values and the commitments that successful ones carry for you;
3. **supervision of research students** indicating your supervisory role (primary or secondary supervisor) and which are MPhil/PhD, ClinPsyD, MSc by Research and MD research students. If the students are registered at universities other than UEA, please also indicate this;
4. **conference attendance** indicating whether you were presenting a paper and the source of funding.

### **Research objectives (maximum 1 page A4)**

For research, please specify your concrete **plans for undertaking externally funded research, writing publications** and submitting research proposals in the next 12 months. As far as possible include working titles, target journals and funding schemes.

## **Academic Staff on probation – Appraisal Checklist**

Before completing Parts One and Two of the Appraisal Form (Self-Appraisal), you are asked to reflect on and prepare to discuss most of the following topics:

- what you have done in the past year
- whether your achievements matched your plans/aspirations/objectives from previous appraisals
- how you have measured the effectiveness of your activities (RAE, QAA, subject review, student feedback, comments from peers, citations, invitations to conferences, PGR supervision, enterprise and engagement, securing funding)
- any restricting factors limiting your effectiveness in any area (equipment, time, skills)
- whether any of your skills, knowledge or aptitudes are not being fully used or developed at present
- what you hope/expect to undertake and to achieve over the next year
- how you might be assisted in achieving your targets
- your plans for the development of your career in the longer term

Appendices B and C of the Green Book (Rules and Procedures relating to the Terms and Conditions of Appointment, Determination of Salary, Advancement and Promotion of Members of Academic Staff) will assist in your self appraisal by providing:

- examples of activities and attainments with regard to Teaching, Research, Enterprise and Engagement, other academic activities and related Administration, Management and Leadership to draw upon as reminders of your achievements or act as prompts for future objectives.
- assessment standards used in the promotions process relating to confirmation of appointment and promotion

The Green Book is available on the HRD intranet.

Other factors to be taken into account may include:

- progress through the MA Higher Education Practice course and successful completion of the Certificate, with the Diploma and the MA as optional and, for those enrolled on to the course with effect from September 2008, completion of the Module of Evaluation of Teaching Competence.



## **Other categories of staff - Appraisal Checklist**

Before completing Parts One and Two of the Appraisal Form (Self-Appraisal), you are asked to reflect on and prepare to discuss most of the following topics:

- what you have done in the past year
- whether your achievements matched your plans/aspirations/objectives from previous appraisals
- how you have measured the effectiveness of your activities (user/customer feedback, comments from managers and colleagues, invitations to participate in professional activities outside the University)
- any restricting factors limiting your effectiveness in any area (equipment, time, skills)
- other difficulties or problems which may have arisen
- whether any of your skills, knowledge or aptitudes are not being fully used or developed at present
- what you hope/expect to undertake and to achieve over the next year
- how you might be assisted in achieving your targets
- your plans for the development of your career in the longer term

Other relevant factors may include:

- contributions to other areas of the University (committee work, working parties, interest groups)
- contributions to external agencies (professional bodies)
- responsibilities in relation to staff (line management, mentoring, informal support of colleagues)
- work complexity and the level of difficulty in performing individual tasks
- supervisory responsibility and the amount of direction given to other staff
- degree of supervision and direction received
- frequency and nature of decision-making
- range and level of contacts within and beyond your department
- degree of concentration and accuracy required by your job
- level of specialised skills, knowledge and experience

Objectives including training and development may encompass:

- conference attendance/study leave
- leading and building teams
- staff management
- chairing meetings
- appraisal training
- recruitment training

## **Completing the Appraisal Forms – Please refer to Appraisal Guidance pp1-9**

### **Before the meeting - Self-appraisal**

*(to be completed by the appraisee and returned to the appraiser at least one week prior to the appraisal meeting)*

#### **Part One – Assessment of key achievements for the previous year – reflection.**

This section provides the opportunity for the appraisee to review his/her achievement against last year's key objectives, any factors which have helped or hindered his/her attainment; action taken in response to last year's agreed training and professional development plan; and any other additional specific achievements or problems that have been experienced.

#### **Part Two – Key objectives for the coming year – looking forwards.**

Part Two enables the appraisee to review any changes, achievements, training and development needs, and look forward with regard to objectives and plans in all aspects of his/her work for the coming year.

This self assessment, alongside the manager's review, will form the basis of the appraisal meeting.

### **After the meeting - Summary**

#### **Part Three – Appraiser's comments**

*(to be completed by the appraiser within one week of the appraisal meeting)*

This part should record briefly and constructively any comments arising from the meeting on the appraisee's activities over the past year and document her/his objectives for the coming year.

Once completed, the appraiser and appraisee sign the form to indicate that the summary and action points have been jointly agreed. The appraiser or appraisee may add further comments or record points of dissent at the bottom of the form.

#### **Part Four – Action Plan for the Head of School/Division/Department or DUS**

This part enables appraiser and appraisee to record any agreed training and professional development, including a reference to who is expected to provide the training and when it will be required. This form can also be used by the Head of School/Division/Department or Director of University Services to monitor the implementation of the Action Plan.

#### **Part Five – Comments for the Head of School/Division/Department or DUS**

This part provides (with the appraisee's consent) a means of reporting issues arising from appraisal to other parts of the University, e.g. CSED, Human Resources etc.



## Appraisal Form

This appraisal form is designed to facilitate a formal discussion between you and your appraiser concentrating on performance since last appraisal, achievement of key objectives, agreeing future key objectives, identifying future training needs and career aspirations.

Year\_\_\_\_\_

Name of Appraisee\_\_\_\_\_

Faculty/School/Division \_\_\_\_\_ Date of Appointment to post\_\_\_\_\_

Post title/Grade\_\_\_\_\_

Date of Appraisal\_\_\_\_\_ Time\_\_\_\_\_

Name of Appraiser\_\_\_\_\_

**Please read the accompanying guidelines and relevant checklists before completing this form.**

Note: space on the form is limited. If you wish to expand the sections and continue onto a separate sheet, then please do so. The appraisee should complete and submit Parts One and Two at least one week prior to the appraisal meeting.

## Part One (looking back)

*(to be completed by the appraisee)*

### Assessment of key achievements for the previous year

- 1) List the significant activities, tasks and objectives set by yourself or others over the last year and comment on the achievement of each.
- 2) What has helped/hindered you in your work over the last year?
- 3) What have you done in the last year which has given you most satisfaction/sense of achievement?

- 2) What has helped/hindered you in your work over the last year?

- 3) What have you done in the last year which has given you most satisfaction/sense of achievement?



*(continue overleaf if necessary)*

### **Part Three – Appraiser's comments**

*(to be completed after the appraisal meeting)*

**1) Appraiser to comment on the appraisee's achievements and activities over the past year**

**2) Appraiser to list agreed key tasks, objectives and action points for the coming year**

This section should be completed to the satisfaction of the appraisee and appraiser.

Be clear about:      **who** is responsible for initiating any action  
                              **when** any particular action is to be taken  
                              **how** is the action to be monitored, if appropriate  
                              **what** standards of performance are to be met

**3) Additional comments by either party**

If as appraiser or appraisee, you wish to make further comments or record any points of dissent in respect of the above, please do so below, continuing on a separate piece of paper if necessary.

Appraisee's signature \_\_\_\_\_

Date \_\_\_\_\_

Appraiser's signature \_\_\_\_\_

Date \_\_\_\_\_



## Part Four – Action Plan for the Head of School/Division/Department or Director of University Services

### Actions to be taken including agreed training/development (to be completed by the appraiser)

List the type of training or other activity

Activity	Provider/Responsibility	Cost/Resources	Target Date	Achieved

Appraisee's signature \_\_\_\_\_ Appraiser's signature \_\_\_\_\_ Dean/HOD/DUS signature \_\_\_\_\_

(if different from appraiser)

Print name \_\_\_\_\_ Print name \_\_\_\_\_ Print name \_\_\_\_\_

Date \_\_\_\_\_ Date \_\_\_\_\_ School/Dept \_\_\_\_\_



## Part Five – Comments for the Head of School/Division/Department or Director of University Services

*(to be completed by the appraiser/appraisee)*

Action points and comments may be recorded on matters which the appraiser/appraisee feel could have a bearing on the management of the School/Department/University or in the delivery of effective training and development programmes. Requests for action or comments recorded on this form may be copied by the Head of School/Division/Department or Director of University Services to, for example, the appraisee's manager, the Human Resources Manager or CSED provided that the appraisee signs to confirm that the information may be released.

A copy of this section may be released to the following:

Appraisee's signature \_\_\_\_\_ Appraiser's signature \_\_\_\_\_ School/Dept \_\_\_\_\_

Print name \_\_\_\_\_ Print name \_\_\_\_\_ Date \_\_\_\_\_