

---

# Staff Appraisal Scheme Guidance and Form

## Including Guidance for Appraisees

### Contents:

The Purpose of Appraisal .....	2
Objectives .....	2
Participation in the Process .....	2
Timing .....	3
Focus .....	3
Variation .....	3
Appraisal Training .....	4
Who Undertakes the Role of Appraiser? .....	5
Planning the Meeting .....	5
The Appraisal Meeting .....	5
Confidentiality .....	6
Appraisal Records .....	6
Follow up .....	7
Monitoring .....	7
Cases of Disagreement .....	7

### Appendices:

A: <b>Guidance for Appraisees</b> .....	9
B: <b>The Appraisal Form</b> .....	20

## **1. The Purpose of Appraisal**

The vast majority of employees seek to provide a professional and effective service to their employer and to enjoy the work they undertake. Important aspects of this are being clear about the expectations upon them; receiving positive feedback on a job well done; and also being made aware when things are not going so well, in order that every effort can be made to put things right, with assistance and guidance where needed.

The University has practices to help support and develop employees such as mentoring and on-the-job feedback from line managers; the annual review process to reward progress where an employee is doing well; and the Capability process to help where an employee may be struggling; but appraisal provides the primary opportunity to clarify expectations and set objectives, formally acknowledge good performance, and identify areas where an employee can use additional help and guidance, either in his/her current role or in planning to advance his/her career.

Appraisal aims to provide clarity on the individual's role and responsibilities in line with the needs of the organisation; and to facilitate communication, recognition of achievements, motivation, and training and development, to the mutual benefit of the university and the individual.

## **2. Objectives**

The staff appraisal and development scheme is designed to:

- recognise individual contributions and, within a framework of constructive open discussion, provide an opportunity for members of staff to discuss with their appraiser their job content, review and reflect upon their performance against agreed objectives, workload allocation and (for ATR staff) research plans;
- assist staff in understanding the goals of their School, Faculty or Division and the University and the part they play in helping to achieve these;
- provide individual members of staff with an opportunity to reflect on their personal performance, identify their strengths and weaknesses and consider how best 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, and
- 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 should be a consideration in the allocation of appraisers and in the provision of resources for follow-up action and staff development.

## **3. Participation in the Process**

The appraisal scheme applies uniformly to all members of staff of the University and is expected to take place annually for every member of staff, including members of staff on probation and members of staff on fixed term contracts.

## **4. Timing**

For new starters it is recommended that an initial review meeting takes place within the first two months of appointment, building on the initial induction. This will provide an early opportunity to:

- review the individual's performance thus far;
- revisit the job description to:
  - ensure the new starter is clear what is expected, and
  - discuss any aspects where the new starter needs further clarification or assistance;
- identify any immediate and/or longer term training and development needs;
- address any managerial or individual's concerns at an early stage; and
- ensure new starters on fixed term contracts are included in the process.

Subsequent reviews should then be incorporated into the annual appraisal timetable of the School/Division/Department.

For all other members of staff appraisal should take place in line with the annual timing of the School/Division in which they work.

## **5. Focus**

It is recognised and appropriate 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 ensuring the business of the University and the interests of the individual member of staff are aligned. The Head of School/Director of Division or University Service should ensure appraisers in his/her area are aware of the appropriate key performance indicators and other relevant information before the appraisal cascade commences, to assist them in the setting and agreement of individual objectives with their appraisees.

## **6. Variation**

Local augmentations to the process are allowable in order to refine an 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.

An example may be a request for additional documentation to be provided to the appraiser, along with the preparatory documentation, on progress against a school's key performance indicators.

To ensure compliance with the spirit and procedure of the common appraisal framework and to ensure a degree of consistency across the University, proposed local variants should be notified to and approved by the Human Resources Division.

## 7. Appraisal training

The Centre for Staff and Educational Development (CSED) is responsible for providing appraisal training. The Heads of School/Directors of Division or University Service are responsible for ensuring appraisers in their areas are trained before undertaking appraisals. For trained appraisers updates at three yearly intervals are recommended thereafter.

Appraisal training suitable for appraisers and also those who are being appraised can be accessed via e-learning courses on the CSED website, on <https://portal.uea.ac.uk/csed>.

In addition, and to be read in conjunction with the on-line training, the following documents are available via the HR website:

### **Guidance for Appraisers:**

<https://www.uea.ac.uk/documents/2506781/2665497/Guidance+for+Appraisers/7f2a8ff2-bf5c-40f3-abd2-c2e1164280b2>

### **Guidance for Appraisees:**

Which forms Appendix A to the document you are currently reading, and provides Guidance for Appraisees (i.e. those being appraised) relating to pre-appraisal preparation, the appraisal meeting and completion of the paperwork.

<https://www.uea.ac.uk/documents/2506781/2665497/Appraisal+Scheme+Guidance/ea49720-5ae0-4ec6-a21e-782fbd23d7bd>

### **Guidance for Researchers and their appraisers:**

Appraisal for Researchers: How to get the best out of your Professional Development Review, available on:

<https://www.uea.ac.uk/documents/2506781/2665519/Appraisal+for+Researchers.pdf/df e992b3-9ccf-4c40-93bf-53b47702e3c9>

Appraisal for Researchers: Guidance for appraisers of research staff, available on:

<https://www.uea.ac.uk/documents/2506781/2665519/Appraisal+for+Researchers+-+Guidance+for+the+Appraiser.pdf/15c4822d-7ecc-4d7d-bf50-dfb1be202aa2>

Appraisal for Researchers: FAQs

<https://www.uea.ac.uk/documents/2506781/2665519/Appraisal+for+Researchers+FAQ.pdf/7a459e31-1284-4229-895e-c083f2b507c9>

### **Generic meeting skills**

To complement any event where a manager is required to formally meet with an employee or potential employee, e.g. selection interviewing, appraisal, capability, mentoring, etc., CSED provide face to face skills training. Please visit their website for details.

## 8. Who undertakes the role of Appraiser?

The Head of School/Director of Division or University Service will conduct appraisals and/or delegate this task to appropriate members of their team. S/he is responsible for the effective running of the process in his/her area and should ensure appraisers are asked to appraise a realistic number of appraisees. It is recommended that an appraiser should not normally be responsible for more than seven appraisees.

Appraisal will normally be conducted by an immediate supervisor or line manager, or by a senior colleague, as appropriate, who has a direct supervisory relationship with the appraisee's work on a regular basis. Academic Sector Heads and Professors will normally be appraised by the Head of School; and Heads of School by the relevant Dean of Faculty.

If, in exceptional circumstances and with good reason, an appraisee wishes to request an alternative appraiser, arrangements for this may be made with the formal consent of the Head of School/Director of Division or University Service.

## **9. Planning the Meeting**

The Head of School/Director of Division or University Service ensures appraisers are identified and may, as appropriate, participate in discussion as to the allocation of appraisees. S/he should also ensure each appraiser is aware of relevant objectives, short and long term aims and future developments that will/may impact on the work of the individuals they will appraise.

Appraisal meetings should be scheduled with sufficient time to allow the appraisee to prepare Parts One and Two of the University Appraisal Form by the deadline for return, and for the appraiser to review the returned form prior to the meeting.

Appraisees should be asked to prepare Parts One and Two of the University Appraisal Form with reference to Appendices A and B of this document. The prepared form provides a framework for appraisal discussion regarding the appraisee's work, review of his/her achievements against previous objectives, any concerns, training and development needs, future objectives, career and personal development plans.

On receipt of the appraisee's form the appraiser should prepare for the appraisal, taking into account organisational objectives, aims and developments; the content of the appraisee's form, other available information relevant to the appraisee, and with reference to the Guidance for Appraisers.

## **10. The Appraisal meeting**

The 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, review of attainment against previous objectives, clarification of role, and for joint agreement on a plan of action for the coming year related to objectives, achievable targets and development plans.

## **11. Confidentiality**

Broadly speaking some of the discussion at appraisal remains between the two individuals; with the summaries, objectives and outcomes documented on the appraisal form. Schools/Divisions are then required to store appraisal documentation securely so it is only available to those with legitimate access.

This legitimate access includes the appropriate hierarchy through which appraisal feedback should occur - for example where the appraiser is not the line manager, s/he will need to provide feedback to the appraisee's line manager/Head of School/Director of Division or University Service as appropriate on attainment, objectives, training needs, etc. It may also extend to appraisal documentation being appropriately accessed for legitimate management reasons, for example by a new line manager who wishes to review the objectives of his/her team, or other employment matters.

However, it is also recognised that some discussions which take place within appraisal meetings will not be documented and it may appropriately be agreed between the appraiser and appraisee that these will remain confidential, for example, a personal situation that the appraisee does not wish to be disclosed further.

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

## **12. Appraisal records**

The post-appraisal records (Parts Three A&B/Four and Five) are completed at or following the appraisal meeting by the appraiser or, at his/her request, the appraisee. Part Three should always be completed, with Part Four completed if there are any training or development needs, and Part Five completed if there are issues to be raised beyond the appraisal with other departments.

The appraisee may add any additional comments before signing and returning the form to the appraiser, who also signs it off and provides the appraisee with a signed copy.

Once signed off the completed appraisal documentation, including Parts One and Two and any other relevant documentation, is forwarded to the appropriate Senior Manager (if this is not the appraiser).

If Part Four has been completed this should be copied to CSED.

If Part Five has been completed this should be copied to the relevant department.

The appraisal documents will then be held securely in the School/Department.

## **13. Follow-up**

Follow-up action is the responsibility of at least the appraisee and the appraiser.

Appraisee follow up includes:

- working towards, with the intention of attaining/exceeding, the tasks/activities/objectives which s/he proposes undertaking or have been allocated by the appraiser/line manager, over the agreed timescale;
- identifying to the line manager any barriers or difficulties so these can be appropriately addressed; and
- undertaking any training or development interventions identified to update or improve or enhance performance.

Appraiser follow up responsibilities (with reference as appropriate to the Head of School/Director of Division or University Service) include:

- Follow-up of action points involving the appraiser, or where the resources or required influence are beyond the authority of the appraisee;
- checking the appraisee's progress against objectives;
- reviewing and helping to reprioritise objectives where necessary in light of changing circumstances; and
- provision of feedback to the appraisee.

Faculty/Division follow up includes:

- overseeing equitable management of appraisal and agreeing such provision as is practicable;
- noting the collective profile, recording training needs which emerge and informing CSED of training requirements via Part Four; and
- taking note of and acting upon items arising from the completion of Part Five.

## **14. Monitoring**

The Head of School/Director of Division or University Service will be responsible for ensuring all eligible staff appraisals are completed in line with the annual appraisal schedule in their area. Each Head of School/Director of Division or University Service should submit an annual statement to the Director of Human Resources, recording, for all appraisees, the name of the appraiser and the month of the appraisal meeting, on the form provided annually to managers for this purpose.

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

## **15. Cases of disagreement**

If an appraiser and appraisee are unable to reach complete agreement about the outcome of an appraisal meeting, despite reasonable efforts by both parties to do so, there is provision for either or both to add a comment to the appraisal form to this effect which should be included in Section 3. If this action is taken but the appraisee and appraiser nonetheless agree that the appraisal process has been completed to their satisfaction, the document should be jointly signed and passed to the office of the Head of School/Director of Division or University Service for secure retention.

In a case of serious disagreement between the two parties over the conduct of the appraisal meeting, or 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/Director of Division or University Service as appropriate. After consideration and consultation with both parties, s/he will append the appraisee's and/or appraiser's comments to the record. In exceptional circumstances, the Head of School/Director of Division or University Service may arrange another appraisal meeting to be conducted by a different appraiser.

Human Resources Division  
May 2014, Updated May 2016



# Guidance for Appraisees

Appendix A

## 1: Preparing your pre-appraisal documentation:

To help ensure you get the most out of the appraisal process it is important to spend some time reflecting on the various aspects of your role beforehand. As discussion at your appraisal meeting will naturally focus on this the better prepared you are the easier this should be. As a minimum you should consider the following:

- what has gone well and not so well;
- how you have progressed against any targets, objectives, training or development interventions that have been previously set or agreed;
- if there is anything you could do in a different or more effective way and if so what could help make that happen; and
- how you can work towards any career advances you may wish to make.

Re-familiarising yourself with your job description in advance of the meeting will also be helpful.

On the following pages are more detailed pointers relating to different staff groups and guidance on completing the pre-appraisal paperwork. You are recommended to read these before starting to fill in the pre-appraisal sections (Parts One & Two) of the form.

It is helpful to refer back to any notes you have kept of your work activities during the year, including events you were involved in; successes; things that went less well but how you dealt with and learned from them; formal or informal training and development you may have undertaken, etc., so you can more easily recall the detail when you are completing your appraisal form. If you have not done so previously you may wish to keep notes during the coming year to help you with future appraisal preparation.

You should also refer to any previous objectives, which may have been documented in Part Three (now Part Three A) of last year's appraisal form, or on a form used locally in your area for this purpose. From 2014/15 Part Three B is introduced into the appraisal form to provide a structured document for recording objectives and for reference during the year to help you keep track of your objectives and progress against them.

If you wish to seek promotion to a higher graded post you may wish to access information relating to the requirements of the higher grade and compare these with your current attainments, knowledge, skills and experience, etc. For academic staff the Green Book provides assessment standards for each of the academic grades. For other staff groups, job descriptions of higher grade posts in an

individual's own or other area will help provide a steer on the level of expectation and the person specification requirements.

Having identified differences between the two these can be discussed at your appraisal meeting and an action plan to help facilitate opportunities to work towards your goals may be considered.

## **2: Guidance for specific Staff Groups**

While the general principles above apply to all staff groups, there are particular issues specific to different groups of staff. Please read the appropriate section(s) for your staff group, as follows:

- Research (R&A) Staff
- Clinical Academic Staff
- Lecturers on Probation
- Academic Staff (ATR & ATS)
- All other Staff Groups

### **Research (R&A) Staff**

It is acknowledged that many Research (R&A) Staff are employed on fixed term contracts owing to the nature of the fixed term funding underpinning the research work they are employed to do, and this may mean an individual is not employed during the period in which the area in which they work routinely undertakes staff appraisals.

However, UEA is committed to the University Concordat Action Plan 2012-14 in which all research staff in Higher Education will normally undergo a Professional Development Review, which is called an **appraisal** at UEA.

Therefore, under the auspices of the University's Research Staff Working Group, appraisal guidance specific to research staff has been produced and is available on the HR intranet on <https://www.uea.ac.uk/hr/employee-information/research>, as follows:

- Appraisal for Researchers: How to get the best out of your professional development review
- Appraisal for Researchers: Guidance for the Appraiser
- Appraisal for Researchers: FAQs

In preparing for an appraisal meeting Research Staff are urged to read the above documents, and also the guidance on the following pages to utilise areas relevant to your own role and range of duties, in order to help you prepare for, and participate fully in, the appraisal process.

### **Clinical Academic Staff**

This relates only to medically qualified staff who hold a substantive contract with the university and a contractually linked honorary contract as a Consultant in an NHS Trust.

It is an NHS and HEI contractual and mandatory requirement that clinical academic staff participate in joint appraisal in line with Follett principles, and is necessary for GMC revalidation. Joint appraisal meetings are undertaken with an appraiser from the Trust and an appraiser from the Medical School, in line with the appraisal scheme operated by the Trust with whom the member of staff holds his/her honorary contract. Clinical academic staff should also have a copy of their current job plan available for review at the appraisal meeting.

Members of clinical academic staff in MED should prepare for the academic element of their appraisal as described below for academic staff, and this information should feed in to the joint appraisal form and process.

### **Lecturers on probation**

The guidance for Academic Staff below should be followed. In addition probationers may also find it useful to prepare to discuss their progress on the MA Higher Education Practice (MA-HEP) or other accepted course (such as MCLinEd in FMH) being undertaken as a requirement of their probation.

### **Academic Staff**

This applies to ATR and ATS Lecturers, Senior Lecturers, Readers and Professors

Before the appraisal meeting Parts One and Two of the Appraisal Form are completed and sent to your appraiser. To assist you in preparing to complete these sections it may be helpful to reflect upon and prepare to discuss the items below, as relevant to your own role, with regard to Teaching, Research activity and attainment, Enterprise and Engagement, related Administration, Management and Leadership and any other academic activities.

- your achievements against objectives set at your last appraisal or (for new starters) at the start of your role;
- whether the plans and aspirations from previous appraisals or (for new starters) at the start of your role, have been realised;
- how you have measured the effectiveness of your activities (e.g. REF, QAA, subject review, student feedback, comments from peers, citations, invitations to conferences, PGR supervision, enterprise and engagement, securing funding) and any documentation you may have relating to each or any of these attainments which you should take to your appraisal or provide copies to your appraiser beforehand;
- any restricting factors limiting your effectiveness (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 to consider may include:

- contributions you may make 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) may assist in your appraisal preparation 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, and
- the Assessment Standards to be met for Confirmation of Appointment (relevant to Lecturers on Probation) or promotion to Lecturer B, Senior Lecturer, Reader or Chair, which can assist you in mapping your current level of attainment against the levels required, and discussing at appraisal how the gap can be closed in support of Confirmation of Appointment or a successful application for promotion, or to confirm that a submission should already stand a good chance of success.

The Green Book is available on the HRD website under Promotions and Annual Review.

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

Research activity over the previous three years, to include:

- research publications listed by peer-reviewed journal articles, other articles, chapters in books, other publications including conference abstracts. Please also include those in press;
- submission of research proposals indicating your role in each of these, your co-applicants, which ones were successful, and including dates, values and the commitments that successful ones carry for you;
- 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;
- conference attendance indicating whether you were presenting a paper and the source of funding.

Research objectives:

Please aim for a maximum of one page of A4 or alternately if you already have a research plan drawn up this may be provided instead.

You are asked to specify your concrete plans for undertaking externally funded research, writing publications and submitting research proposals in the next 12 months, as far as possible including working titles, target journals and funding schemes.

### **All Other Staff Groups**

This applies to all staff other than Academic (i.e. ATR and ATS) staff.

Before the appraisal meeting Parts One and Two of the Appraisal Form are completed and sent to your appraiser. To assist in completing these sections it may be helpful to reflect upon and prepare to discuss the items below, as relevant to your own role:

- your work over the past year;
- your progress against any objectives set in a previous appraisal or (for new starters) since the start of your role at UEA;
- whether your achievements have matched your plans/aspirations from previous appraisals or (for new starters) since the start of your role at UEA;
- how you have measured the effectiveness of your activities (e.g. 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 to consider may encompass:

- special projects;
- introduction of new ways of working;
- conference attendance/study leave;

- leading and building teams;
- staff management;
- chairing meetings;
- undertaking relevant training.

### **3: Preparing yourself for the appraisal meeting:**

#### **Interpersonal skills**

You may find it useful to consider the types of everyday interpersonal skills that are used during the appraisal meeting, as an awareness of these may help you gain more from the process.

#### **Listening**

Listening sensitively is a subtle skill and listening effectively requires a great deal of concentration. Too often, particularly under pressure, one tends to listen for a particular response and ignore the rest of the conversation; or may be rehearsing the words to be spoken in response rather than actively listening to what's being said.

It is fine to take a few moments to absorb what is being said and to take time to think about and shape your answer instead of feeling you must respond immediately after your appraiser has finished speaking.

#### **Questioning and Responding**

Questions asked by your appraiser may be to seek information, to challenge or clarify what you have said, and to explore feelings and attitudes. Your appraiser will make every attempt to ensure s/he is asking questions in the clearest way but it is fine to ask for the question to be repeated or to ask for more information if you are not clear what is being asked.

You will also be likely to ask questions and it is helpful to plan - and if you prefer, to write down - some of the questions in advance so they don't slip your mind.

Remember also the style of delivery of, and response to, a question is important. For example a question asked or answered in an aggressive way is less likely to elicit a positive response.

Either the appraiser or the appraisee may receive a response to a question which they are not sure what to do with, and the communication can then become stilted rather than a discussion with a purpose. To try to avoid this it is helpful to keep in mind what you or the appraiser are trying to achieve, so you or s/he can find another way to get to or deliver the information needed.

You may also wish to check that you and your appraiser have the same understanding of what has been said during the appraisal meeting, and asking questions to clarify this

is fine, for example, "may I just check that what you are saying is ....".

### Explaining

Both appraiser and appraisee may need to explain or clarify their perspective on the aspects being discussed. To be able to do so one has to identify accurately the problem to be explained, structure the explanation, and try to avoid giving too much information too quickly. A common error is to rush in to an explanation which is often harder for the listener to understand as some of the key information may be missing. It may therefore be more helpful to consider what you need to explain, take a moment to think about the key facts such as timing, facts and information, construct one's thoughts and then speak. As a general rule it is better to leave the fuller explanation until the key points have been given and absorbed by the listener.

### Receiving Criticism

As an appraisee you may receive feedback from your line manager/appraiser about aspects of your performance that should/could be undertaken differently. Your appraiser should attempt to deliver this in a way that is constructive by clearly identifying the problem and seeking to reach a solution, but it is recognised that feeling criticised is an uncomfortable process for most people, and can elicit powerful emotional responses out of all apparent proportion to the criticism.

Therefore it may be useful to consider the following tips on receiving criticism before your appraisal meeting as this may help in reaching a positive outcome.

1. Try not to be over-defensive, or counter-attack. Instead listen and consider what has been said rather than rushing to defend yourself or immediately apologising.
2. Don't jump to conclusions. Be quite clear about what is being said, and ask for clarification if it is needed, for example, if you are not clear, ask the person to be more specific, for example:  
*"What exactly is it about my attitude you don't like?"*  
*"What have I done to make you think that?"*
3. Respond in an appropriate way. For example:
  - a) If the criticism is **true** (valid/justified):  
Agree and acknowledge the criticism, apologise if necessary/ appropriate, and take steps to put the matter right or improve performance/behaviour:  
*"Yes, I did leave the room in a bit of a mess, I'm sorry. Next time I'll clear it up before I leave."*
  - b) If the criticism is **partly true**:  
Agree with the criticism but add a qualification, for example:  
*"Yes, I did make a mistake, but I am not irresponsible."*

- c) If the criticism is **untrue** (invalid):  
Disagree, politely, with the criticism, for example:  
*"That is quite untrue. I am not a lazy person."*
  - d) There may be an occasion when you do not wish to get involved in an implied criticism or argument. A type of response known as fogging helps to avoid either agreement or disagreement but acknowledges that there may be some truth in the criticism as the other person sees it, and allows scope for moving forwards, for example:  
*"You may be right."*
  - e) Sometimes a criticism or put-down may catch you unawares. In this case you may need time to think before dealing with it, for example:  
*"I'll have to think about that before I respond."*
4. Consider what, if anything, you can/will change as a result of the criticism to improve the situation.
5. It may be helpful to recognise that part of a manager's role is to provide feedback on aspects that need to improve/change, in order to ensure effective working practice and interpersonal dynamics of a team. Accepting constructive criticism in this context rather than taking it as a personal slight may be of help in accepting the need for change and learning to leave behind any negative feelings related to this.

### **Action Planning/Setting Objectives**

Unless the appraisee and the appraiser are clear at the end of the appraisal process about the appraisee's key role, aims and objectives for the coming appraisal review period, it will not have served its purpose.

A key feature of a successful appraisal is to be able, as a result of the reflection, review and discussion held at the meeting, to set action points and/or objectives to assist you in achieving goals, standards and targets in your current role, in order to contribute to the success of the organisation and develop your abilities.

This applies equally to those who have no wish to change role or actively pursue career development or promotion and to those in roles where the job content remains fairly static across a long period of time. In these circumstances objectives can be framed around ensuring competence is maintained at an appropriate level; around any interpersonal skills that may help maintain or improve performance; and around encompassing any new initiatives, or changes to operating equipment, or local/national regulations, etc.



Objectives can also be set to enrich, enhance or enlarge a current role for those who are keen to advance their careers, by increasing knowledge of other areas; improving skills and experience relating to work related or interpersonal skills; and helping with steps to progress career development aims.

A commonly used and effective way of considering objectives is to work with the acronym **SMART** when considering, what, when, who and how. Using the breakdown of this acronym “**S**pecific, **M**easurable, **A**chievable, **R**ealistic and **T**ime scaled”, can help by ensuring:

- objectives are **S**pecific about what is to be achieved, and the part each individual plays;
- progress is **M**easurable by setting interim and final success indicators/targets so everyone knows how things are progressing;
- that the task is **A**chievable so those involved are able to move it forwards with some certainty of success (with appropriate support and any development and/or training necessary to do so);
- appropriate time, expertise and resources are allocated to ensure the target is **R**ealistically attainable; and
- a **T**ime scale is identified in which the objective is to be met, to help with prioritising, focus and checking progress against deadlines.

Your appraiser is also likely to bear in mind that:

- action points that you can understand, have had some input into the discussion of, and feel you have some chance of achieving, are more likely to be successful as you can confidently take some ownership;
- you may have individual strengths and interests that would suit a particular project or aspect of your team’s responsibilities. Bear in mind though your appraiser needs to know about them to be able to take them into account;
- action points and objectives should be regularly reviewed to see how you are making progress against them and it is helpful to arrange a date for at least the first interim review.

Your appraiser will therefore be likely to take these factors into account in the setting of objectives but you may find it helpful to clarify any aspect with your appraiser, if you are uncertain as to what is expected of you.

#### **4: Completing the Appraisal Form:**

The sections on ‘Preparing your pre-appraisal documentation’ and the relevant ‘Guidance for specific Staff Groups’ should be read before completing the form.

## **Sections for completion *before* 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.

This section 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 and accompanying documentation, alongside the manager's review, will form the basis of discussion at the appraisal meeting.

## **Sections for completion *at or after* the appraisal meeting:**

### Part Three A - Appraiser's comments

Part Three A should record briefly and constructively summary comments arising from the meeting on the appraisee's activities over the past year and her/his objectives for the coming year.

### Part Three B – Record of Objectives

Part Three B is provided for more specific detail in relation to the appraisee's objectives, how attainment/achievement/success will be measured, how progress will be monitored and reviewed during the appropriate period, and relevant timescales.

Once completed, the appraiser and appraisee sign Part Three A (and Three B where used) 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, summarising training and/or development needs.

This part enables appraiser and appraisee to record details of any agreed training and/or professional development. This form is also used by the Head of School/Division/Department or Director of University Services to monitor the implementation of the Action Plan within their own area, and s/he should also send a copy to CSED, or delegate this to the appraiser to do so, in order that CSED can be informed of prevailing training and development needs.

Please note that appraisees will remain responsible for booking places on specific training events, as detailed in the CSED programme brochure or website.

#### Part Five – Comments to be passed on to other Departments

This part provides (with the appraisee's consent\*) a means of reporting issues arising from appraisal to other parts of the University, where the involvement of another department may help, e.g. Human Resources, Estates, etc.

The usual process will be for the form to be sent on to the relevant department by the Head of School/Division/Department or Director of University Services, or delegated to the appraiser to do so.

\*Please note that there may be occasions where an issue must be acted upon even where an appraisee does not give their consent (e.g. danger to another individual, extreme health and safety concerns), but this will be discussed with the appraisee and appropriate regard will be given to anonymity.

## Appendix B



### 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 previous objectives, agreeing future key objectives, identifying future training needs and career aspirations.

The University needs to collect and process staff personal data in order to function effectively as an organisation. Personal data will be collected and processed in accordance with the requirements of the General Data Protection Regulation (GDPR) 2018. Further information on what to expect when the University collects and uses your personal information can be found in our privacy notice.

<https://portal.uea.ac.uk/information-services/strategy-planning-and-compliance/regulations-and-policies/information-regulations-and-policies/data-protection/staff>

**Please access the online training session via CSED e-learning, and read the Staff Appraisal Scheme Guidance, including Appendix A: Guidance for Appraisees, before completing this form.**

Year \_\_\_\_\_

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

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

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

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

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

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 no later than one week prior to the appraisal meeting or sooner if requested by your appraiser/line manager.

## **Part One: Appraisal preparation (looking back)**

*(to be completed by the appraisee)*

NB: If your School/Division has chosen to incorporate additional documentation for your area in relation to local Key Performance Indicators this will have been provided by your appraiser and you should incorporate this into your considerations and preparation.

### **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.  
The **Record of Objectives form** provided at Part Three B is introduced for 2014/15 and achievement against previously set objectives can therefore be attached to or documented on this form in subsequent years.

- 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?

- 4) **ATR members of academic staff only** (including those on probation) **should also provide the following details:**

#### **Research activity over the previous three years, to include:**

- research publications listed by peer-reviewed journal articles, other articles, chapters in books, other publications including conference abstracts. Please also include those in press;
- submission of research proposals indicating your role in each of these, your co-applicants, which ones were successful, and including dates, values and the commitments that successful ones carry for you;
- 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;
- conference attendance indicating whether you were presenting a paper and the source of funding.

## **Part Two: Appraisal preparation (looking forward)**

*(to be completed by the appraisee)*



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

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

Be clear about: **Who** is responsible for initiating any tasks or action(s)?

Timescales?

**How** is the action to be monitored, if applicable?

**What** standards of performance/attainment are to be met?

**Form Three B - Record of Objectives – is available to record objectives in more detail.**

**3) Additional comments by either party**

If appraiser or appraisee 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 \_\_\_\_\_ Printed Name \_\_\_\_\_ Date \_\_\_\_\_

Appraiser's signature \_\_\_\_\_ Printed Name \_\_\_\_\_ Date \_\_\_\_\_



### Part Three B: Record of Objectives

*This form may be used within and across appraisal years to add to or amend objectives, inserting additional sections as required:*

Appraisee's signature	Printed Name	Date
Appraiser's signature	Printed Name	Date

<b>Objective One:</b>			
<b>Date Added:</b>		<b>Intended Start date :</b>	
<b>Target completion date :</b>		<b>Planned Review Date(s) :</b>	
How will this achievement be indicated/measured?			
Review of progress (for completion at interim review or next appraisal as appropriate) :			
Outcome :			

<b>Objective Two :</b>			
<b>Date Added:</b>		<b>Intended Start date :</b>	
<b>Target completion date :</b>		<b>Planned Review Date(s) :</b>	
How will this achievement be indicated/measured?			
Review of progress (for completion at interim review or next appraisal as appropriate) :			
Outcome :			



<b>Objective Three :</b>			
<b>Date Added:</b>		<b>Intended Start date :</b>	
<b>Target completion date :</b>		<b>Planned Review Date(s) :</b>	
How will this achievement be indicated/measured?			
Review of progress (for completion at interim review or next appraisal as appropriate) :			
Outcome :			

<b>Objective Four :</b>			
<b>Date Added:</b>		<b>Intended Start date :</b>	
<b>Target completion date :</b>		<b>Planned Review Date(s) :</b>	
How will this achievement be indicated/measured?			
Review of progress (for completion at interim review or next appraisal as appropriate) :			
Outcome :			

**Please add additional objectives sections to this form as necessary**



**Part Four: Action Plan for agreed training and/or development interventions** *(to be completed by the appraiser)*

Following completion this form is for use by the Head of School/ Division/Department or Director of University Services to monitor the Action Plan in his/her area, **and a copy should be sent to CSED.**

Please list below details of the training or other activity, adding additional lines as necessary. Please note: The minimum training time recommendation for each member of staff is two days per annum.

Activity	Provider or Responsibility of:	Cost/ Resources	Target Date	Achieved

***Please insert additional rows as needed***

Appraisee's signature:	Printed Name:	Date:
Appraiser's signature:	Printed Name:	Date:
Head of School/Director's signature (if different from appraiser):	Printed Name:	Date:
School or Division:	Department (if applicable):	



## Part Five – Comments to be passed to other Departments

*(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 on 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, Estates, etc., provided that the appraisee signs to confirm that the information may be released.\*

Appraisee's signature:	Printed Name:	Date:
Appraiser's signature:	Printed Name:	Date:
Head of School/Director's signature (if different from appraiser):	Printed Name:	Date:
School or Division:	Department (if applicable):	

\*Please note that there may be occasions where an issue must be acted upon even where an appraisee does not give their consent (e.g. danger to another individual, extreme health and safety concerns), but this will be discussed with the appraisee and appropriate regard will be given to anonymity.