
Staff Appraisal Scheme

GUIDANCE FOR APPRAISERS

Contents

What is Staff Appraisal?.....	2
The UEA Appraisal Scheme	3
Appraisal Training	3
The Skills of Appraisal	4
▪ Planning	
▪ Self-Assessment	
▪ Listening	
▪ Questioning	
▪ Responding	
▪ Explaining	
▪ Recognising Difference	
▪ Opening and Ending	
▪ Giving and Receiving Criticism	
▪ Action Planning/Objective Setting	
S-M-A-R-T Objective Setting	10
Identifying Developmental Opportunities for Staff	11
Appraiser Preparation - Pre-appraisal logistics	12
Appraiser Preparation - Pre-appraisal information gathering	14
Appraiser Preparation - Suggested areas for discussion within the appraisal meeting	16
Completion of Paperwork	19
Follow up and Interim Review	20
Cases of Disagreement.....	20
Confidentiality	20
The Appraisal Meeting – suggested structure diagram	22

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

What is Staff Appraisal?

Appraisal is:

- a scheme of regular, systematic, extended meetings between an appraiser (the person who conducts the appraisal) and an appraisee (the person being appraised), normally comprising a main annual meeting and shorter follow up reviews during an annual cycle;
- an opportunity for open discussion to take place between appraisees and appraisers on issues surrounding:
 - job performance
 - review of attainment against previously set objectives
 - capabilities and competencies
 - the setting of future objectives
 - future potential and career development
 - training and/or developmental needs
 - impediments to development

The staff appraisal 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 and, additionally for academic staff, workload allocation and 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;
- establish objectives for each member of staff to work towards to help him/her reach or maintain an appropriate level of performance;
- 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 achieve their objectives;
- help individual members of staff to identify their training and development needs in order to further develop their careers within the School, Faculty, Division or University, and
- improve the efficiency with which the University is managed.

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

The UEA Appraisal Scheme

- **Purpose**
Performance review, objective setting, training and developmental considerations
- **Appraisers**
Experienced and responsible members of staff
Allocated by Dean/Director or Head of School
Familiar with the work of the appraisee
Fully aware of the relevant Faculty/School/Division/Departmental context
- **Stages**
Annual process
Cycle - preparation by appraiser and appraisee
 - appraisal interview
 - written record of outcome and objectives
 - jointly signed off by appraiser and appraisee
 - follow up of action points and objectives at regular intervals throughout the year

Appraisal Training

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

Please note it is still important to read this guidance as it complements the online training and provides additional information.

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

The Skills of Appraisal

Overview

Some of the key skills of appraising are listed below. In practice most of them apply to both the appraiser and the appraisee and one of the appraiser's tasks may be to try to help develop these skills in the appraisee.

- Planning
- Self-Assessment
- Listening
- Questioning
- Responding
- Explaining
- Recognising differences
- Opening and Ending
- Giving and Receiving Criticism
- Action Planning/Objective Setting

These skills should be used in ways which match the purposes of the appraisal meeting - and of the appraisal scheme. For example, if a primary objective of the meeting is to help the appraisee understand how their role needs to adapt to meet evolving needs, or development interventions are needed, then explaining, giving constructive criticism and action planning are crucial skills for the appraiser, and self-assessment, open listening and receiving criticism are crucial for the appraisee.

Planning

Planning for the appraisal meeting is necessary by both the appraiser and appraisee. Few things will provoke more resentment in the appraisee than an apparent lack of preparation by the appraiser.

The appraiser needs to consider several aspects including departmental goals and how and where the employee fits into these; how the appraisee has performed against any previous objectives set; ways of building upon his/her strengths and how any areas of weakness s/he might have can be addressed; how best to approach any sensitive matters, etc.

The appraisee will need to reflect on what s/he has achieved over the past year or more against objectives, what the goals of the coming year(s) might be, his/her strengths and weaknesses, etc.

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

It is useful for appraisers and appraisees to keep brief notes of achievements, and any actions taken to rectify or prevent errors, as they occur during the year so they can be more easily recalled when preparing for the appraisal meeting.

Self-Assessment

Self-assessment is sufficiently important to merit consideration as a skill in its own right. For the appraiser it can involve trying to identify and address any potential prejudices and blind spots. For the appraisee it can involve collecting evidence which may be from a variety of sources such as colleague or student feedback, research student performance, research outcomes, comments upon articles one has written, etc. The evidence then needs to be reviewed and reflected upon.

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. During an appraisal meeting one needs to try to get a broad picture and go beyond the words to the appraisee's context and any possible implications.

Questioning

Questions asked in appraisal meetings may be to seek information, to challenge, clarify, explore feelings and attitudes, etc. A common trait is to ask too many closed questions which yield short factual answers rather than encouraging discussion. Therefore a mixture of open and closed questions is advised as open questions (e.g. tell me, describe, explain, how was that..., what do you think... etc.) will help to broaden out areas of discussion and encourage reflective thoughtful answers; and closed questions (e.g. do you, did you, when was that, etc.) are useful for seeking additional clarification. It is also important to recognise that a thought-provoking question may require the appraisee to take some time to formulate a response and so patience is important.

The style of delivery is important, for example a question asked in an aggressive way, or perceived as such, is unlikely to elicit a response which is objective and positive, and questions will only be as useful as the answers they yield. When preparing for the appraisal, whether as appraiser or appraisee, it is helpful to plan - and probably to write down - some of the questions that one will ask.

Responding

Things can become difficult when one asks a question, receives a response and then does not know what to do with the answer, leading to a sequence of isolated utterances rather than a flowing discussion with a purpose. This highlights the importance of preparing well beforehand and knowing what the purpose of the questions are and how

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

you might follow them up depending on the response(s) received from the appraisee.

Other aspects of responding include summarising; providing feedback; probing responses further; reflecting back and clarifying what has been said.

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 trait 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.

Recognising Difference

Appraisers of academic staff should be aware that studies indicate female academics may be less likely to put forward a case for promotion without active encouragement. This may also extend to others who feel less confident for non-gender-specific reasons. Appraisers should be aware that this reticence is not always obvious.

Appraisers of academic staff should therefore ensure that *each* of their appraisees is reminded to self-assess their progress against the assessment standards of the Green Book and include this as an item of discussion at appraisal.

In this way those who are already deemed to meet the required standards (and are not already at professorial level) should be encouraged to submit a case for consideration of promotion to the appropriate grade at the next opportunity. For those whose current attainments fall short of the required assessment standards the difference should be identified and solutions considered and linked to objectives/ action plans in order to seek to help reach them.

Opening and Ending

Appropriate openings and endings are crucial features of the appraisal meeting. In the opening stages the appraiser needs to explain the purpose, establish rapport, and set the tone. Towards the end of the interview the appraiser should summarise and clarify the discussion, outcomes, and goals, and establish that these align with the appraisee's understanding. A suggested structure for the appraisal meeting can be found on page 21.

It is acceptable to complete or partially complete Parts Three A&B, Four and Five at the appraisal meeting if time allows and both parties are clear about the proposed content.

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

This may be completed by the appraiser or s/he may request that the appraisee provisionally completes the paperwork for finalising and signing off by both parties.

Giving and Receiving Criticism/Critical Feedback

Giving Criticism

Being criticised is an uncomfortable process for most people. It may be linked with rejection and can elicit powerful emotional responses out of all apparent proportion to the criticism.

Criticism (or critical feedback) may be used as a legitimate means of helping a person improve their performance, but is more likely to be effective if it is delivered assertively (rather than aggressively or passively) and in a **constructive** way, by *describing the behaviour* and *asking for specific change*. This is likely to obtain a more positive response than **unconstructive criticism** which *labels* or *judges* or *puts down* the person.

Delivering constructive criticism:

1. Check that the criticism is specific and not a personal attack.
2. Introduce the topic and say why you are raising it.
3. Make the specific criticism *describing* the performance/behaviour of the person rather than *evaluating* – e.g. *"I've noticed you've been arriving late..."* rather than, *"You're being very thoughtless coming in late..."*
4. Allow the appraisee to respond to your criticism, giving them an opportunity for reasonable explanation. A 'checking out' approach often will soften the overall tone, e.g.... *"To what extent does this coincide with your view?"*
5. Be clear in your own mind what response you wish to achieve and then try and negotiate this in a way that allows the appraisee to take your ideas on board... *"Can we now look at ways in which..."; "How about this for a suggestion...?"*
6. Summarise and agree the proposed action. If appropriate/necessary, specify the positive consequences if the person complies, or the possible negative consequences should the agreed change not take place.

Giving direct, unoppressive feedback to others about their performance or behaviour can be both caring and helpful, and can show you value them as a person and colleague. However, someone who persistently responds to attempts to communicate in this way by being truculent, negative, and defensive may require a more formal approach.

Receiving Criticism

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

Fear of criticism can be a factor which inhibits self-assertion. While everyone will confront criticism in their life; it is preferable to try to respond in an assertive way, rather than aggressively or passively. The following tips on receiving criticism may help reach a positive outcome, and are also included in the guidance for appraisees.

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, for example:
"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 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.

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

5. It may be helpful to bear in mind and explain to the appraisee that part of the role of a manager/appraiser is to provide feedback on aspects that need to improve and/or change, in order to ensure effective working practice and interpersonal dynamics of a team.

If the appraisee is able to accept constructive criticism in this context rather than taking it as a personal slight it may be of help to him/her accepting the need for change and reduce/prevent any negative feelings related to this.

Action Planning/Setting Objectives

Unless the appraisee and the appraiser are clear at the end of the 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, to set action points and/or objectives to assist the employee achieve goals, standards and targets in his/her current role, in order to contribute to the success of the organisation.

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 may be framed around

- ensuring job performance is maintained at an appropriate level;
- any interpersonal skills that may help maintain or improve performance; and
- 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. In this case, all three aspects noted above are still relevant, but in addition objectives can also be focused upon:

- 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.

For guidance on setting objectives please refer to the following page.

“S-M-A-R-T” Objective Setting

An effective way to set 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;
- from the outset that the task is **A**chievable so those involved are able to move it forwards (with appropriate support and any development/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.

Additional Considerations in Setting Objectives

Building upon the SMART method, successful action points/objectives are also likely to have the following characteristics:

Agreement between appraiser and appraisee

Action points that are agreed rather than imposed stand more chance of being implemented as each party takes some ownership;

Shared commitment

If several parties have actions to undertake and/or are clear about the need for the objective to succeed there is more likelihood of commitment;

Personal interest

Something that appeals to the individual, playing to his/her strengths and interests;

Regular Review

Action points should have regular reviews, not just a waiting a year until the next appraisal cycle. The plan should therefore embody review stages.

Flexibility

What seemed a priority objective six months ago may no longer be so as the surrounding context changes. Action points/objectives should be regularly reviewed to ensure the most effective use of expertise time and resources.

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

Identifying Development Opportunities for Staff

Some action points/objectives will require some personal learning and/or development by the member of staff in relation to his/her current role, or may be structured to facilitate learning and/or development opportunities. This is something the line manager/appraiser should give thought to, both in terms of his/her own responsibility for developing members of his/her team, and how this might best be achieved, as it will need to be planned for and integrated into the process.

The university recommends a minimum of two full days of training for each member of staff per year. This can be made up through short blocks of time or as full days.

Below are pointers for managers when considering their own role in developing members of staff:

- provide encouragement to develop;
- identify training needs of members of staff, such as through the appraisal process, a critical incident, or through regular managerial review of the individual's work;
- identify opportunities for development;
- attempt to meet individual development needs with objectives that match their needs;
- recognise any problems they may have which are preventing them from developing; and
- find out what motivates each member of staff so you can use this to mutual advantage

When considering how training and/or development needs are to be met formal courses are often the first thing that comes to mind, but the following examples can also provide appropriate exposure to development opportunities:

- Temporary or longer term adjustments to job content to provide enrichment, enlargement or stretching the individual's talents*
- Job rotation*
- Secondments*
- Special projects
- Membership of groups or committees
- Being Coached or Mentored
- Work shadowing
- Changing practice arising from audit results or research
- Professional journals
- Reflection on practice

*Particularly when the needs/aspirations of one or more members of staff enables reciprocal exchanges of work or exposure to different aspects to take place.

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

Appraisal Preparation

Before the appraisal takes place

To help ensure things run as smoothly as possible before, at and after the appraisal meeting, there are several things to consider, ranging from simple logistics of when and where this will take place, to ensuring you have a framework for discussion which includes sufficient knowledge of the appraisees work and achievements or concerns, where s/he fits into the scheme of things and the related expectations of his/her role, and what is expected of him/her in the coming months/year.

The following pointers aim to provide a structure to work with:

Pre appraisal logistics:

- Set the date – give long enough for the form to be handed out and returned to enable you to review it and do your own preparation before the meeting takes place.
- Book a suitable location if you do not have your own office in which to conduct 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. This can take place in a relatively informal setting but consider time of day if it is in a public building to ensure you are not disturbed or overheard during busy periods. 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.
- Ask your appraisee(s) to complete the preparatory sections (Parts 1 and 2) of the appraisal documentation. Appraisees should be reminded to read the Appraisal Scheme Guidance which includes Guidance for Appraisees before doing so. This is available on the HR Intranet.
- Be aware that while many staff look forward to their appraisal, for others it will be a nerve-racking or first time experience, or may have gone badly in the past. Appraisers should therefore take the opportunity to re-iterate the positive aspects including the self-assessment of strengths and weaknesses, agreement of training and development needs and gaining a clear understanding of what is expected of the appraisee during the coming year, and an opportunity to discuss personal development and aspirations. It is also important to stress that, for the process to work well, the appraisee's contribution to the appraisal process and discussion is vital.

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

- As identified earlier in this document, appraisers of academic staff should be aware that studies indicate female members of academic staff may be less likely to put forward a case for promotion without active encouragement. This may also extend to those who feel less confident for non-gender-specific reasons. Appraisers of academic staff should therefore ensure that *each* of their appraisees is reminded to self-assess their progress against the assessment standards of the Green Book and include this as an item of discussion at appraisal.
- Set appropriate expectations of the outcome

While the emphasis is on review of performance, identifying objectives and training and development needs, an individual's aspirations are an important part of the appraisal process but do need to be grounded in what is realistic, able to be resourced and in line with the needs of the Faculty/Division and the role. While this does not necessarily exclude support for personal development which is not directly related to the role, if an appraisee feels the process has previously failed them because they have not gained agreement to support their own developmental wish list, reiteration of the purpose of the process may be needed.

- Remind the appraisee(s) to complete and return documentation and chase this if necessary so you have time to review it before the appraisal meeting

It is key to a successful appraisal meeting that discussion is two-way. It is important that the form is completed, so the member of staff does give some thought to the areas covered by the questions, and so that the appraiser has some prior insight into the points raised, even if these are only a list of bullet points to be expanded upon in the meeting.

- Do you have Research Staff (those on the R&A grades) among your appraisees?

It is acknowledged that many Research (RA) 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. Therefore 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

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

In preparing for the appraisal meeting you are therefore urged to read these documents but in particular the 'Guidance for the Appraiser'.

Pre-appraisal Information gathering:

It is important to prepare yourself for the appraisal meeting by considering the following:

The Faculty/Division aims and objectives for the coming year

- Are you clear what these are?
- Where does this member of staff and his/her role fit in to these aims and objectives?
- What do you need him/her to take on/achieve, individually or as part of a team?
- Is this different from what s/he is currently doing? In what way?
- What extra training, guidance and/or support might s/he need to be able to successfully help to achieve these?

Last year's appraisal documentation

- Review the agreed objectives at that time. Have they been achieved?
 - If not – are there reasons beyond the appraisee's control such as unexpected additional workload, lack of training, other work taking priority, restructuring?
 - How will you deal with this, in discussion at the appraisal, and practically?
- How has the member of staff performed since his/her last appraised, or since the start of employment if this is his/her first appraisal in post?
- Have there been particularly good outcomes?
- Have there been issues addressed during the relevant time period which are now resolved? Make sure these are noted and acknowledged?
- Are there issues that remain outstanding? Review progress in the discussion and include a way forward in the action plan.
- Are there unresolved issues?
 - How do you plan to take these forward?
 - Have they already been discussed?
 - Do you need additional guidance to help deal with the issue?

Appraisee comments made on their submitted appraisal documentation

- What has s/he particularly considered to be his/her achievements?
NB: Remember these may not be the same as the things you consider to be the best achievements
 - How can you acknowledge and build on these?
- What has s/he been hindered by, or felt to be disappointments?
 - How can you address these?
- Does s/he identify anything as hindering his/her performance?
 - Is this an issue of structure, environment, training, lack of experience, interpersonal?
 - How might you address this?
 - Does it involve other people? Do you need to involve another line manager or other support?
- Does s/he have skills which are not being utilised?
 - Is there any way you could use these? Can they be put to use elsewhere?
- How does s/he wish to develop further?
 - If s/he does not, then (see p9, Objective Setting/Action Plans) address any training needs which are necessary to ensure continuation of an appropriate level of performance in his/her current role, for example by ensuring familiarity with new equipment or processes; or interpersonal needs, such as communication, body language, ability to communicate with others, etc.
 - If specific areas of development are identified, how might these be met?

Resourcing identified training needs

- How might you resource identified developments?
- What budget sources do you have to help with this?
- Is it something that CSED can provide?
- Is this something that can be dealt with by a cost neutral means (see p10, Identifying Developmental Opportunities for staff).

Please note, the university recommends a minimum time of two full days of training for each member of staff per year, either as shorter blocks of time or as full days.

Suggested areas for discussion within the appraisal meeting:

Key tasks will be to clarify to the appraisee the purpose of the appraisal meeting, your role, how the meeting will be structured and followed up; to discuss achievement against past objectives, set future objectives and identify any opportunities for career development; to seek to identify any problems, issues and/or training and/or development needs in relation to each of these aspects; to seek to ensure, at regular intervals during the meeting, that appraiser and appraisee both have the same understanding/interpretation of what has been discussed and agreed.

The following pointers aim to provide a structure to work with and potential questions for your consideration or to ask your appraisee. Not all aspects will be relevant to each appraisal.

The wider environment

- Set the scene by a short briefing on the objectives/external constraints of the University and Faculty/Division so the appraisee knows what the aims are, what the pressures are, where their role fits into this and what is required of them in this context.
- Is any related knowledge development or training intervention needed?

Performance in role.

- Consider the progress/attainment in relation to existing objectives agreed at the previous appraisal, or during the year? Congratulate on achievement, and explore reasons why outstanding objectives are not met. If these still need to progress discuss actions to take these forwards in line with SMART objective setting (see p10).
- Does the existing job description reflect what s/he is doing? Look at how the priorities and needs of the role may have changed and what training needs this may bring, or consider whether things need to be brought back within the scope of the role. Identify specific areas of responsibility from generic job descriptions. Revise if necessary.
- Are there things s/he is no longer doing that the Faculty/School requires of him/her, or are there new things that need to be introduced? What objectives might arise from this and are there likely to be training/development needs?
- Is s/he concentrating on certain areas at the expense of others? If so, what are the priority areas? Does there need to be realignment of the role?
- Are there any areas where s/he is uncertain of what is expected of him/her?

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

- Is s/he clear of the indicative performance indicators at his/her level, for example the expectations of teaching/research/enterprise and engagement output and achievements for academic staff?
- Is any additional support/knowledge/training/change of workload allocation, etc., needed and how this can this best be put into place?
- Are there areas where s/he is experiencing difficulties from conflicting demands? How might these be addressed and resolved?
- Are there areas where s/he feels able to take decisions but is not able to? Would this be appropriate to the role? If so, what is preventing this?
- Are there unresolved performance issues? These should be raised as a management issue as soon as possible after occurrence and should not be left to raise for the first time at the appraisal meeting. However, anything unresolved, or something that has just arisen shortly prior to the meeting, should form part of the appraisal discussion with a review of progress to date, and an action plan to take things forward.

The team

- Does the team in which s/he is based work well together?
- Does s/he have a notably positive or negative impact on the team?
- Is there anything that could be done to improve the team's performance, dynamics/interactions?

Support:

- Does s/he feel supported in his/her work? If not, what could be done to provide support?
- Is there anything that you can do as line manager to enhance the working environment or your working relationship with him/her?

Individual Development:

- Does s/he wish to seek promotion – what may be needed to work towards this?

A detailed review of current achievements against promotion requirements relevant to the staff group and grade of staff can either be included in the appraisal discussion or scheduled as a follow up action. If there are gaps between current and required experience and attainment an action plan should be drawn up to help him/her move towards the level needed. If current and required levels are already

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

closely matched support and encouragement should be given to putting a case forward for promotion, or making an application for a suitable vacancy.

- What are the individual's aspirations, how might the department help him/her achieve these?

Consider whether it is possible to do so in his/her current situation. Sometimes a frustrated employee will remain so because s/he has outgrown the role, and may need to consider a move to address this, but role related objectives that could help growth, enrichment or enlargement of the current role, in line with his/her talents, interests and development wishes, might assist retention and motivation.

Other issues

- There may be issues not included on the preparation sheet. Ask if there is anything else s/he wishes to discuss. However, this could introduce unexpected issues such as feeling bullied or harassed, or domestic problems. Have an idea of who you might need to involve if s/he agrees to this being taken further (also, see section on Confidentiality below).
- In cases of bullying or harassment you should gather as much detail as appropriate at that point, then agree how this will be taken forwards. You may wish to reconvene a further meeting, or refer him/her to the Faculty Human Resources manager, or to the Harassment Advisor network.
- For domestic/social issues out of work, you may wish to refer him/her to the University counselling service.
- For issues of domestic violence or personal safety issues, contact your faculty HR manager who will have contact details of an organisation that will be able to offer specialised assistance.
- During the appraisal discussion the objectives and any training and development plan should be discussed and agreed. The appraiser should clarify that both appraiser and appraisee have the same understanding of what is being agreed in relation to areas for improvement, objectives to be met, and identified time scales and methods.
- A rough timing for a review meeting should be agreed, e.g. three months, to check on progress and any updates that may need to be made.

At the end of the Appraisal Meeting:

- Clarify and agree the objectives and any training/development needs that come out of the appraisal and ensure the paperwork is completed within a reasonable timeframe.

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

Completion of Paperwork

- The post-appraisal records are jointly produced by both appraisee and appraiser following the appraisal meeting, with the appraiser (or by agreement the appraisee) completing Parts Three A & B, Part Four (for training or development interventions, noting the university recommendation that each member of staff should have a minimum of two days training each year), and Part Five (if there are issues to be raised with other departments).
- Following completion of the paperwork this should be passed 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 signed copy.
- Once signed off by the appraiser and appraisee, the completed appraisal documentation, including the employee's self-appraisal in Parts 1 and 2, and any documentation attached to it which could include an up-to-date curriculum-vitae or job description, is forwarded to the appropriate Senior Manager (if this is not the appraiser).
- If Part 4 has been completed this should be copied to CSED.
- If Part 5 has been completed this should be copied to the relevant department.
- The appraisal documents will then be held securely in the School/Department.

NB: Part Five will usually only be sent with the appraisee's permission. However, 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 is to be discussed with the appraisee and appropriate regard given to anonymity.

Follow up and Interim Review

- Progress against the Action Plan and/or Objectives should be reviewed at reasonable intervals during the year, not just at the next appraisal meeting, so it is helpful to book an initial interim review meeting into the diary at the end of the appraisal meeting to avoid this being overlooked.

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

The appraisee's responsibilities are to:

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

Your follow up responsibilities as appraiser (with reference as appropriate to the Head of School/Division/Director of University Services if you are not the appraisee's line manager) include:

- Follow-up of action points that involve you as appraiser, or where the resources or influence required are beyond that available to 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.

The Faculty/Division follow up responsibilities include:

- overseeing equitable management of appraisal, noting the collective profile, recording training needs which emerge and informing CSED of training requirements via Form 4.

Cases of disagreement

If you are unable to agree an outcome to the appraisal, please refer to section 13 of the Staff Appraisal Scheme Guidance.

Confidentiality

- Broadly speaking 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 if you as appraiser are not the line manager

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3; Title change from Appraiser Guidance to Guidance for Appraisers.

or Head of School/Division you will need to provide feedback to him/her as appropriate on attainment, objectives, training needs, etc.

- It is also appropriate for an existing or new line manager to access previous documentation to review the objectives of his/her team, or for other employment matters.
- However, it is also recognised that some discussions that take place within appraisal meetings will not be documented and it may appropriately be agreed between you and your appraisee that these will remain confidential, for example, a personal situation that the appraisee does not wish to be disclosed further.
- Part Five of the appraisal documentation will usually only be forwarded to another department with the appraisee's permission. However, there may be occasions when other concerns such as personal safety or a serious Health and Safety issue must over-ride confidentiality and must be acted upon even when the appraisee does not give his/her consent. Should this be the case this will be discussed with the appraisee and due regard will be given to anonymity.
- The appraisal record or abstracts from it may, with the appraisee's consent, be used in the written submission by a line manager or supervisor in support of an application for promotion under the usual but separate procedures.

On the following page is a suggested structure for the appraisal meeting which may be used at the start of the appraisal to illustrate to the appraisee what will be discussed and in what order, and act as a prompt during the meeting.

V.1: May 2014

V.1.2: May 2016, addition of Appraisal Training on p3

The Appraisal Meeting: Suggested Structure

