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Appraisal: for development, achievement, and performance for employees of the University of Worcester

Introduction

1. The appraisal process is an integral element in the development of the organisation whereby managers and individual employees meet regularly to discuss issues of importance to the individual, the team, the department/service/school/institute and the institution as a whole
2. There will be consistency in the way reviews are conducted and guidance and training is made available to all staff, whether appraiser or appraisee. All staff, including part-time, sessional and fixed-term contract staff, are covered by the scheme.
3. The University believes that appraisal properly conducted, has a valuable contribution to make to the achievement of its diversity policies and expects all aspects of appraisal to be conducted in the spirit of these policies.
4. The appraisal should be an addition to, not a substitute for, regular and frequent discussions, which take place as a matter of course between line manager and member of staff throughout the year in relation to work- in –progress. Any issues relating to under/poor performance and/or competence should be discussed at the time the issues are first identified and not deferred until the appraisal meeting; concerns about poor performance must be dealt with as they occur using the relevant protocols separate from appraisal.
5. The main purposes of the appraisal are;
   1. to provide an opportunity to discuss and appraise performance against previously set objectives and outcomes and any in additional to these, and where appropriate, celebrate achievements.

b. to agree a clear set of objectives and outcomes for the coming year

c. to ensure employees understand and engage with their role in contributing to the University’s strategic priorities and success.

d. to provide an opportunity to discuss the professional contribution, potential and career aspirations of staff

e. to identify professional development and training opportunities and agree a proposed development programme to be undertaken in the coming year

f. to inform discussions about any future applications for promotion and other forms of reward

Scope of Appraisal

1. The appraisal combines two broad areas of discussion:

* performance – concerned with achievement of objectives and outcomes.
* development – concerned with professional and career development

1. Line managers should ensure that new staff joining the University should have regular meetings during their probationary period and a formal appraisal within six months of commencing employment.
2. The role of the appraiser is to help in the reflection process, provide feedback and clarify/agree objectives. Where an individual works in a line management structure, the appraiser will be the appropriate line manager or other senior staff. If an appraisee reports to other managers/ senior colleagues, then the appraiser should consult them both prior to and after the appraisal meeting. Where an individual has good reason, an alternative appraiser will be identified.
3. All appraisers must have attended the relevant University training programme prior to conducting an appraisal. It is important to ensure, as far as possible, that appraisers carry out no more than 10 appraisals.
4. All appraisees are expected to have attended the relevant University training on making the most of the appraisal process.

Procedure

1. Appraisal will take place annually according to a timetable that is relevant to the institute/

department/service needs.

1. The main elements of the appraisal are:
   1. **Preparation and reflection** by the appraisee and appraiser - reviewing previous objectives and outcomes, and developing ideas for the future period, and to set the agenda for the appraisal meeting, using Form A.
   2. Appraisal **meeting** – to discuss the issues raised by appraisee and appraiser based on Form A and leading to completion of Form B
   3. Appraisal **outcomes** –to identify performance and development objectives recorded on Form B, and completion of Form C for development needs.
2. Interim reviews should be undertaken by the appraisee completing the relevant section of

Form B and forwarding to the appraiser An interim meeting can be arranged if either party requests.

# Preparation and self-reflection

1. A range of documents that might be useful to consider include:

* Job description and/or role profile where applicable
* Institute/departmental plans and University strategic plan
* Record of staff development undertaken since the last review
* Previous appraisal outcomes
* Feedback from students, colleagues, audits, users of services and external commentators
* Professional journal/portfolio
* Appraisal scheme outline
* Criteria for reward/promotion
* Updated CV

1. Before the appraisal meeting Form A should be completed by the appraisee and passed to the appraiser at least 3 working days before the meeting. The staff development undertaken during the period should also be recorded here with comments about how it’s been implemented. This will be revised after the meeting to reflect the discussion held during the meeting.
2. The appraisee and appraiser should both prepare for the meeting by considering what objectives might be relevant for the next period.

Review meeting.

1. The meeting will be informed by Form A and the relevant job description and/or role profile. Progress on outcomes and targets agreed at last review and development meeting will be recorded on Form A
2. Agreed outcomes and targets for the next period and the longer term to be agreed and recorded on Form B. This discussion will focus on agreed outcomes related to the nature of the role.
3. Where development priorities are cross- institutional or likely to be met by internal staff development agencies, these need to be communicated to the relevant agency by completion and forwarding of Form C by the Head of Institute/Department. There are many different ways to meet development needs and a list of common mechanisms is included in Appendix 1.
4. Individuals who are considering making an application for promotion or additional/contribution increments may wish to take the opportunity to discuss this with the appraiser. Any subsequent application must be made under the appropriate scheme and set within the criteria. The appraisee may, but need not, decide to include evidence from the appraisal meeting in a subsequent application for promotion/increments.

# Sign Off

1. The completed forms should be agreed between the appraisee and appraiser within 10 working days of the meeting and then passed to the Head of Institute/ Department/Service who is responsible for confirming objectives and ensuring there is effective communication of issues, including training and development, raised during the review meeting.
2. The information relating to training and development will be used to create a ‘staff development’ plan for the department/institute/service, and should be discussed with the appropriate staff development advisers within the University.

# Confidentiality

1. The completed appraisal forms A and B will be confidential to the appraisee, appraiser, line manager and Head of Department. The appraisee and appraiser will be responsible for retaining a copy of the completed appraisal forms.

Appendix 1

Guidance on forms of staff development that could be considered;

Coaching by a colleague

Secondments

Temporary Membership of ‘task force’ or working party

Custom designed projects

Job / task / role rotation

Standing-in

In-house informal seminars / workshops / discussion groups

Mentoring by/of peers

Visits to other relevant settings

Sitting-in as an observer on committees and ad hoc meetings

Committee work inside and outside University

Self-paced ‘open learning’ packages

Representing the department / service / university in the wider community

Giving formal/informal presentations

Organising formal event

In-house and external courses