

# APPRAISAL POLICY AND PROCEDURE

## Approval

JNC	1 November 2016
VCO	14 November 2016

## Version Control

Version 1	1 November 2016
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## Responsible Officer

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## Appraisal Policy and Procedure

### 1 Scope

- 1.1 This policy and procedure applies to all employees of the University including those on fixed term contracts. It does not apply to staff serving their probation period, agency workers or self-employed contractors.

### 2 Aims

- 2.1 The success of the University depends on the effective contribution of all staff. It is essential that staff understand what is expected of them and that they receive appropriate development to help them to grow as individuals enabling them to carry out their role to the very best of their ability.

This policy aims to ensure that:

- staff are helped to develop their career within the University, their career aspirations and their potential for development is identified;
- staff are enabled and encouraged to maintain good performance and develop further;
- individual performance and achievements are reviewed against their previously agreed objectives at least once a year;
- individual work plans and objectives for the year ahead are discussed, including appropriate objectives which link to those of the Directorate or Faculty and the wider University;
- appraisal discussions support organisational learning to improve the efficiency with which the institution is managed

### 3 Policy

- 3.1 Annual appraisal meetings are normally conducted by the immediate line manager. In some circumstances alternative managers may be nominated for this purpose. Appraisers will need a sufficient knowledge of the work of the appraisee to facilitate the process of reflection and objective setting.
- 3.2 The annual appraisal cycle runs from 1 March to 31 July<sup>1</sup>.
- 3.3 Heads of Directorate/Faculties are responsible for ensuring that all staff in their Directorate or Faculty have an annual appraisal meeting.

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<sup>1</sup> The appraisal year runs from 1 March-28 February in the following year. Appraisal discussions and reports must be completed by 31 July.

- 3.4 Managers are expected to provide feedback to their staff during the course of the year and therefore the appraisal meeting should not contain surprises. However, the annual appraisal is an opportunity to formally recognise the employee's achievements.
- 3.5 Concerns about performance or attendance must be discussed with the employee as they occur or as soon as they come to light through one-to-one meetings or other meetings in line with the Capability and Poor Performance Policy and Procedure. **It is not appropriate for issues to be raised for the first time in the appraisal discussion or appraisal form.**
- 3.6 The University will exercise due care to maintain confidentiality. Records must be stored in line with Data Protection requirements.

#### 4 Procedure

- 4.1 The appraiser and the employee should prepare for the annual appraisal meeting which should be held in private and allow sufficient notice and time for uninterrupted discussion.
- 4.2 The staff member will prepare their self-assessment of achievement of their objectives as well as proposed objectives and staff development requests for the following year. The self-assessment should be submitted to the appraiser at least five working days before the appraisal meeting.
- 4.3 Objectives for academic staff should include where appropriate, milestones and progress required towards attainment of academic qualifications, teaching, administration, as well as research and scholarly activity.
- 4.4 At the appraisal meeting the appraiser and staff member discuss:
- the staff member's performance, achievement and development over the past year against previously-agreed objectives;
  - any changes within the University or difficulties that may have impacted on achievement of the objectives, and ways improvements can be achieved;
  - the appraiser's qualitative assessment of overall achievement of those objectives and any matters arising;
  - key objectives and activities and work allocation for the year ahead. Objectives must be SMART (Specific, Measurable, Achievable, Relevant and Time-bound);
  - personal and professional development needs and ways in which they might best be addressed, including career aspirations and ways to achieve them.

4.5 Performance descriptors for the assessment of achievement of appraisal objectives are:

- A
- B
- C
- D

4.6 An overall assessment of “C” must only be recorded where the informal stage of the Capability and Poor Performance policy has been commenced.

4.7 An overall performance assessment of “D” must only be recorded where the formal stage of the Capability and Poor Performance policy has been commenced.

4.8 After the appraisal meeting the appraiser will write up the discussion and share this with the member of staff, who then has an opportunity to respond and add comments if they so wish.

4.9 Where development activities or other needs are identified, these will be considered and taken to the relevant bodies where appropriate. Feedback will be provided by the appraiser.

4.10 Appraisal forms will be retained for a maximum of two years.

## **5 Relationship with other policies**

5.1 Newly appointed staff have their objectives and development set under the Probation policy and procedure. Once staff have successfully completed probation, objectives should be agreed for any remaining months of the appraisal year so that assessment can take place under the Appraisal process at the next annual appraisal date.

5.2 If an employee has any concerns regarding their appraisal they should discuss this with their line manager in the first instance.

5.3 Where performance is of concern, this should be addressed under the Capability and Poor Performance Policy and Procedure.

## **6 Review**

6.1 The University will keep this policy and procedure under review with recognised trade unions.

## Appraisal Ratings Descriptors

**A** Performance at this level shows the jobholder has not only met the objectives but has also exceeded expectations.

The member of staff may have achieved outcomes beyond the scope of the original objectives. This assessment recognises a higher degree of effort in meeting ambitious or developmental objectives.

**B** Performance at this level indicates most appraisal objectives were met.

This performance assessment allows flexibility to accommodate those instances where a member of staff is demonstrably deemed to be competent in their area of work, has met most of the objectives including the critical ones but may not have been able to achieve the more ambitious ones.

**C** Performance at this level shows that the jobholder partially met but did not consistently meet the objectives, including one or more critical ones deemed fundamental to their role. Not having met objectives would have had an impact on their own area of work or impact on others.

This performance assessment should only be awarded where the informal stage of the Capability procedure has been commenced.

**D** Performance at this level shows the jobholder clearly did not meet the objectives to a significant degree.

This performance assessment should only be awarded where the formal stage of the Capability procedure has been commenced

Note 1 Where circumstances outside the control of the staff member have affected achievement of an objective, that objective should be disregarded for the purposes of the assessment.

Note 2 Ratings should not be used for rewarding members of staff for working longer hours than contracted or for taking on work at a higher grade.

## Appendix

The records which form part of the appraisal discussion are on-line. Detailed guidance on the online appraisal system and sources of support are available from <http://www.gre.ac.uk/offices/hr/staffdev/appraisal>.