

## APPRAISAL POLICY AND PROCEDURE

### Approval

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### Responsible Officer

|             |                                                                                                                                        |                                                  |
|-------------|----------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|
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| Version 2   |                                                                                                                                        | Laleh Williams                                   |
| Version 2.1 | Updated policy reference from Capability and Poor Performance Policy to Managing Performance Policy. No substantive changes to content | Vanessa Roots<br>Senior Workforce Policy 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 required and appropriate objectives which link to those of the Directorate or Faculty and the wider University;
- appraisal discussions support organisational learning including any relevant mandatory training which must be completed 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 May to 30 September<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.
- 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.

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<sup>1</sup> The appraisal start on the 1 May is dependent on calendar cycles and subject to system upgrades.

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 Managing 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 appropriate 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\*
  - A
  - B
  - C

- D

- 4.6 An overall assessment of “C” must only be recorded where support has been provided, but there is still a need to improve performance and the informal stage of the Managing Performance Policy and Procedure needs to be commenced.
- 4.7 An overall performance assessment of “D” must only be recorded where the formal stage of the Managing Performance Policy and Procedure is being 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 Managing 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

|           |                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-----------|----------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>A*</b> | Significantly exceeds performance standards              | <ul style="list-style-type: none"> <li>- Overall performance is consistently and significantly above the expectations of the role/post.</li> <li>- Individual has made progress beyond their ambitious objectives</li> <li>- They support others to achieve success in terms of university impact</li> <li>- The individual exemplifies the university values</li> </ul>                                                                                                                                                                                                                                                                          |
| <b>A</b>  | Exceeds performance standards                            | <ul style="list-style-type: none"> <li>- Overall performance is above the expectations of the role/post</li> <li>- Individual achieves outcomes beyond the scope of their objectives<br/>Assessment recognises the higher degree of effort in meeting ambitious or developmental objectives which support the university's impact.</li> <li>- The role holder demonstrates the university values and influences others with demonstrating these</li> </ul>                                                                                                                                                                                        |
| <b>B</b>  | Achieves performance standards                           | <ul style="list-style-type: none"> <li>- Overall performance meets the expectations of the role/post.</li> <li>- Assessment allows flexibility to accommodate those instances where the staff member is deemed competent in their work area, and has achieved the most critical objectives but may not have been able to achieve the more ambitious ones.</li> <li>- The individual demonstrates the university values</li> </ul>                                                                                                                                                                                                                 |
| <b>C</b>  | Areas of improvement needed to meet performance standard | <ul style="list-style-type: none"> <li>- Overall performance is not meeting the expectations of the role/post and is having an impact on the work of others</li> <li>- The performance at this level shows the individual partially met but did not consistently achieve the objectives, including one or more deemed critical</li> <li>- Not all the university values are demonstrated</li> <li>- Performance assessment should only be awarded where additional support provided indicates the individual still needs to improve, and without this there will be a need to commence the informal stage of the Capability procedure.</li> </ul> |
| <b>D</b>  | Significantly below performance standards                | <ul style="list-style-type: none"> <li>- Overall performance is consistently and significantly failing to meet expectations of the position</li> <li>- Performance at this level shows the jobholder clearly did not meet their objectives</li> <li>- There is little demonstration of our values</li> <li>- Assessment should only be awarded where the formal stage of the Capability procedure will need to commence</li> </ul>                                                                                                                                                                                                                |

**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>.