

Annual appraisal

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Cross reference/related documents:	Probation Completion Form Self-appraisal Form for Academics Academic Appraisal Form HR/19 Administrative Staff Appraisal Form HR/18	

1.0 Rationale and principles which this policy seeks to uphold

- 1.1 The University expects high standards of performance from its staff.
- 1.2 The University wishes to enable staff to plan and evaluate their performance against expectations and their own career aspirations.
- 1.3 The University expects communication between employees and their line managers to be effective with respect to identification of challenges and planning of priorities and goals.
- 1.4 The University wishes to recognise and reward outstanding performance.

2.0 Scope

- 2.1 Applies to all members of the permanent staff of the University.
- 2.2 Applies to all staff in their probationary period; the criteria and forms are used to review performance at the end of the probationary period.

3.0 Policy

- 3.1 Annual appraisal is mandatory for all permanent employees of the University.

- 3.2 If staff have been absent for long periods or have recently changed role, their appraisal will be postponed to a reasonable and agreed date.
- 3.3 Annual appraisal involves written evaluation and discussion between employee and line manager. The level of detail and length of discussion will be proportionate to the individual's grade (i.e. the complexity, level of responsibility, and variety of work in position).
- 3.4 The appraisal interview facilitates exchange of feedback on performance and discussion and agreement of priorities and goals for the coming year. It should:
 - 3.4.1 Review currency of the job description, and identify change required;
 - 3.4.2 evaluate strengths and areas in need of improvement;
 - 3.4.3 make clear standards of expected performance in the role;
 - 3.4.4 evaluate competence and attitudes against the University's framework;
 - 3.4.5 detail support and development needs;
 - 3.4.6 detail the employee's career aspirations.
- 3.5 Values, attitudes and behaviours required in the appraisal process include:
 - 3.5.1 mutual trust in each other's best interests;
 - 3.5.2 mutual respect for skills, competences, and experience;
 - 3.5.3 partnership in building a constructive and meaningful discussion;
 - 3.5.4 transparency and relevance of process and outcome;
 - 3.5.5 joint responsibility for a fair, accurate, and useful outcome.
- 3.6 The employee is responsible for providing the line manager with a full, detailed, frank, and accurate evaluation of performance using the standard form. This may be supplemented with evidence. The evaluation may include reflective explanations on standards of achievement, and suggestions for resolving any challenges experienced.
- 3.7 The Annual appraisal will result in:
 - 3.7.1 an evaluation of performance against goals set in the previous year, and of performance against the University's competences;
 - 3.7.2 a plan of priorities and goals for the coming year;
 - 3.7.3 an alignment of the employee's role against the Department/Faculty and University's goals;
 - 3.7.4 a statement of training and development needs;
 - 3.7.5 a record of evidence, evaluation, and decisions, that is signed by both parties to signal agreement.
- 3.8 The Annual appraisal will generate an accurate job description and an annual plan. However, it is likely that these will need continuous review and adjustment over the subsequent appraisal period.
 - 3.8.1 It is the responsibility of both parties to ensure both the job description and the plan remain current and agreed.
 - 3.8.2 It is the responsibility of the employee to alert his/her line manager to the likely failure of a priority or goal.

3.8.3 It is the responsibility of both parties to arrange appraisal discussions throughout the appraisal cycle, as needed.

3.9 Resolution of disagreement is primarily the responsibility of the employee and the line manager. Guidance and advice may be sought from the Registrar and Chief Administrative Officer and/or the Vice Chancellor. These will determine any action necessary on a case by case basis; however, it is not normal practice to refer appraisal to a third party.

3.10 Human Resources is responsible for communicating the requirements of the annual appraisal, supporting colleagues in understanding the requirements of inputs, process, and outcomes, and receiving final signed records.

3.11 Human Resources will forward final signed records to the Registrar and Chief Administrative Officer and Vice Chancellor, and/or bring to their attention cases of disagreement.

3.12 The Deans of Faculty and Registrar and Chief Administrative Officer will recommend to the Vice Chancellor decisions on changes to job description and spine-points/grade, and any recognition or remediation required. The Vice Chancellor has final authority to take such decisions.

3.13 The employee and line manager observe confidentiality of process and outcome; no aspect of an individual appraisal should be discussed with any third party other than the Registrar and Chief Administrative Officer and/or Vice Chancellor.

3.14 Human Resources is similarly bound by the rule of confidentiality and may bring to the attention of others only discrepancies in process, when these others are the line manager, the Registrar and Chief Administrative Officer and/or the Vice Chancellor.

3.15 Human Resources will use statements of training and development needs to plan and budget a University-wide strategy in support of individuals' needs.

4.0 Procedures

4.1 The annual appraisal cycle runs from the beginning to the end of the academic year (i.e. 1 September to 31 August).

4.2 The timescale for the individual elements of the process is as follows:

Stage	HR	Appraiser	Appraisee	Date
1	Communicates start of formal evaluation; circulate forms		Reflects on performance, role requirements & developments	Early May
2		Schedules meetings		May/June
3			Completes and forwards appraisal form to appraiser 2 weeks before the scheduled meeting	
4		Reviews performance,		

Stage	HR	Appraiser	Appraisee	Date
		role requirements & developments and plans the dialogue		
5		Appraisal meeting takes place		
6			May have to amend form based on discussion	
7		Reads proposed finalised version, checks for accuracy and includes comments where necessary		
8		Signs off		
9			Reads comments and signs off	
10		Forwards finalised form to HR		By 31 August
11	Processes documents for the VC/Registrar and Chief Administrative Officer			Before 30 September

4.3 Documentation of the appraisal interview must be completed promptly, normally within two weeks.

4.4 All documentation (evaluation, appraisal report) should be held securely.

4.5 Final records should be deposited with Human Resources.