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UNIVERSITY OF WALES
Trinity Saint David

STAFF DEVELOPMENT AND APPRAISAL SCHEME



1. INTRODUCTION - CONTEXT AND PURPOSE

- 1.1 This scheme of Staff Development and Appraisal for staff is based on the National framework as set out by ACAS and it has been developed in agreement with the recognised trade unions.
- 1.2 The process of appraisal is vitally important in fostering a new team culture inherent in the University's aim of creating a "Learning Organisation" which "facilitates the learning of all its members and continuously transforms itself" in meeting the changing needs of its staff, students, customers and other stakeholders, in the future.
- 1.3 The University needs therefore to foster the attitude that it is itself a learning system whereby the achievement of University goals and individual goals to hand-in-hand. As such, a process of continuous development on a personal as well as a professional basis is the key to future success.
- 1.4 Appraisal is a method of improving the overall performance of an institution by focusing attention on key areas of activity. This is achieved by linking strategic operational plans to Faculty/Department/Centre and individual goals. It operates through the setting up of targets/objectives agreed jointly between manager and individual members of staff, and focuses on key results that lead to continuous performance improvement. This scheme aims to achieve a balance between the needs of the University and the needs of its staff. To be successful, it will need the commitment of both appraisers and appraisees operating in a positive environment.
- 1.5 Appraisal forms part of the University's Quality Assurance procedures and shall take account of any findings and/or recommendations stemming from those procedures.
- 1.6 Other procedures exist to deal with probation, promotion, disciplinary issues and questions relating to competence. The procedures for handling appraisal will be separate from these.
- 1.7 This scheme is intended to address the developmental approach to appraisal and as such can be clearly distinguished from any appraisal scheme which has an explicit link with remuneration.

2. AIMS AND OBJECTIVES

- 2.1 The appraisal of individual staff is intended to support their development in order to sustain and enhance the quality of work. The process of appraisal will help to reconcile the professional aspirations and development needs of individuals with the requirements of the University.
- 2.2 Underpinning the objective of the appraisal process is therefore the concept of quality - quality of working life for the staff affected, through the commitment to improving their skills, knowledge and attitudes to the performance of their roles; quality of output through the process of active participation from a greater personal involvement to the aims and objectives governing academic course provision; quality to the customer resulting from a more satisfied and better motivated staff; and the quality image portrayed by the University both internally and externally, through the mutually shared belief that the process of continuous development is an investment not solely for the present, but for the future. These quality aims will reflect on performance and response to change.

2.3 The objective of the University's appraisal system is geared towards developmental considerations affecting performance. The process is therefore harnessed to the development of an involved culture entailing:

- the identification of any major work problems which may impede personal performance
- the preparation and agreement of a personal development plan
- the identification and agreement of objectives
- a recognition of the right of staff to participate in decisions which will affect their lives and their work output
- a means of solving work related problems and increasing effectiveness
- an opportunity for promoting an atmosphere of trust and openness
- improved job satisfaction

3. EQUAL OPPORTUNITIES

3.1 The scheme will operate within the University's Equal Opportunities Policy and it will be seen as a means of further promoting good practice in the field of equal opportunities within the University. Appraisal will therefore operate fairly and equitably for all staff. Appraisers will be made aware of their responsibilities under legislation which governs equality of opportunity to make certain that direct or indirect discrimination does not occur in the implementation of the appraisal process.

4. FEATURES

4.1 The main features of staff appraisal are:-

- the setting of performance objectives
- the reviewing of the results of performance
- recognising a member of staff's contribution
- identifying performance strengths and weaknesses
- planning improvements to performance

4.2 The benefits to staff are:-

- provides staff with constructive feedback on their performance and attainment of job objectives.
- provides a basis for training and development on a systematic basis
- provides an opportunity for staff to discuss their problems/aspirations openly with

- their managers
- enables staff to review their own performance and form a basis for future progress, development of potential and agreeing opportunities to widen that experience. This in turn will increase involvement and commitment to the institution.

4.3 The benefits to the University include:-

- the improvement of efficiency with which the University is managed
- improved quality of education provision
- support for the development of equal opportunities policies and practices
- improving the relationship between managers and staff and hence the working climate of the University
- staff are actively encouraged to take a positive role in their own development

4.4 The process of appraisal will respect confidentiality.

5. SETTING STANDARDS AND OBJECTIVES

5.1 Staff appraisal will only work successfully if there is a clear identification of individual standards and objectives. Staff need to know what is expected of them if they are to perform well.

5.2 Standards and objectives can be defined as a desired level of performance to be obtained.

5.3 Objectives are statements which set the priorities of a job. They indicate specific levels of achievement expected of the lecturer within a given period of time.

5.4 Standards are then applied to determine the required level of achievement.

5.5 The objectives are then formulated into action plans which set out how the objectives or goals are to be achieved.

6. PERFORMANCE REVIEW

6.1 Performance review is the mechanism for judging the quality of a staff's current performance. It should:-

- review the objectives set in the previous period
- assess the outcome of the prior evaluation of the role and associated activities
- set objectives for the next period under review
- review a staff's potential for career development
- acknowledge conflicts and constraints

6.2 The discussion should centre on job performance, having regard to the allocation of overall duties, and be "business oriented". It should contain no surprises. It will seek to look back over a time period and look forward to:-

- areas of improvement
- follow up action

- New objectives which link strategic goals with individual ones as well as the Vice-Chancellor accountabilities in the past
- Personal development

6.3 The objectives should be mutually agreed between appraiser and appraisee. They need to be clear and precise, challenging, but realistic, have timescales for achievement and identifiable measures to judge success. Once objectives are agreed, the means of achieving them should be discussed with the member of staff.

6.4 The "business" objectives agreed for the time period ahead should be circulated to appropriate colleagues and managers to facilitate teamwork. "Personal" objectives should remain confidential to the appraiser and appraisee.

6.5 The formal performance review (appraisal interview) will take place annually and will be undertaken by the Head of School/Department/Centre as the member of staff's immediate line manager, or in the case of lecturing staff, if requested, the Dean or Assistant Dean. In addition to the formal discussion; regular feedback through regular dialogue should take place to ensure progress is being made. This on-going process of communication will ensure that the appraisal process does not become an end of year report, but rather builds on continuous good management practice. In this way the actual appraisal interview becomes a positive opportunity to formalise what should be occurring on a day to day basis.

7. ROLES AND RESPONSIBILITIES FOR STAFF APPRAISAL

7.1 Senior Managers will need to demonstrate commitment to the scheme and provide adequate resources to ensure that it is effective.

7.2 Line Managers will need to ensure that for all staff working for them, annual assessments of performance are carried out and action plans completed and processed.

7.3 Staff will be encouraged to fully participate in the process and will be expected to make positive contributions to both their own development and to the aims of their Faculty/Department/ Centre and University.

8. THE APPRAISAL PROCESS

8.1 The basis of the process is that it should be easy to operate and be discussion orientated. This can involve a combination of prior evaluation of the role and associated activities. Underpinning the process, therefore, will be a formal procedure the focus of which will be a structured discussion between appraiser and appraisee.

8.2 There will be a standard cycle of annual appraisal.

8.3 The process will involve the review of the make-up of duties as specified in the Contract of Employment and all its associated documentation, whilst recognising the collaborative nature of the staff's activities. Appraisers may, therefore, wish to consult with the appraisees' prior to appraisal interviews.

8.4 The process shall include the following components.

8.5 Self Assessment:-

This is the first step in the appraisal process, and uses a common format to provide information and material which clarifies, inter alia, the individual's current role. This information will help to focus the appraisal interview.

8.6 Preparation by the Appraiser:-

The appraiser will need to reflect on the information provided by the appraisee and any additional relevant information particularly in those areas of work for which the appraiser has no direct responsibility.

8.7 The Appraisal Interview:-

At this interview the appraisee will have the opportunity to identify positive achievements and for these to be mutually considered in the context of the individual's responsibilities and development. The interview should focus on the present and future performance in the job not on personal characteristics.

8.8 The Records of the Interview:-

A recorded summary of the discussion will be prepared by the appraiser, in a common format and jointly agreed with the opportunity to record dissent should agreement not prove possible. (See also the Appeals procedure outlined in paragraph 12).

8.9 Outcomes:-

8.9.1 An agreed set of outcomes will be prepared and recorded on the Staff Appraisal form.

8.9.2 Outcomes of the appraisal process will mainly fall into two categories:

- (i) to set realistic and achievable objectives for the next appraisal cycle;
- (ii) to determine agreed staff development activities which will be addressed through the agreement on Facilities for Training and Education, within available resources.

9. CUSTODY OF APPRAISAL REPORTS

- 9.1 A copy of the agreed full appraisal record (including the self assessment forms) will be placed on the confidential personal file of the appraisee; copies should also be held by the appraisee and the appraiser. These records will not be used for any purpose outside the appraisal process and the utmost confidentiality will be maintained at all times. The retention period for these documents will be two appraisal cycles (current plus previous cycle).

10. MONITORING AND EVALUATION

- 10.1 Monitoring of this scheme, and the appraisal outcomes, will be undertaken by the Director of Human Resources, to ensure that:

- appraisals are being carried out
- staff development issues are being addressed in accordance with 8.9.2 above
- Equal opportunities practices are being maintained

10.2 The Director of **12. APPEALS**

- 12.1** If the appraisee is dissatisfied with the outcome of the appraisal, he/she will have the right to an interview with the appraiser's immediate manager, within 14 working days of the appraisal. If, following this appeal, the individual is still dissatisfied, he/she will have recourse to the Director of Human Resources who will mediate and try to resolve any differences. Should this still not resolve the matter, recourse can be made to the Grievance Procedure.

- 12.2 The outcome of 12.1 will be recorded on a separate document which will be attached to the appraisal record (in 9.1 above).

f Human Resources will inform the Joint Common Interest Group of the monitoring outcomes.

11. OUTCOME OF APPRAISAL

- 11.1** If the appraisee is dissatisfied with the appraisal process or the outcome of the appraisal, he/she must discuss this informally with an appropriate line manager at the earliest opportunity.

12. APPEALS

- 12.1** If the appraisee is dissatisfied with the outcome of the appraisal, he/she will have the right to an interview with the appraiser's immediate manager, within 14 working days of the appraisal. If, following this appeal, the individual is still dissatisfied, he/she will have recourse to the Director of Human Resources who will mediate and try to resolve any differences. Should this still not resolve the matter, recourse can be made to the Grievance Procedure.

- 12.2 The outcome of 12.1 will be recorded on a separate document which will be attached to the appraisal record (in 9.1 above).

13. TRAINING

- 13.1 Training is essential to the success of the appraisal process. The objectives and procedures of the scheme need to be fully understood by everyone involved, and both appraisers and appraisees need to acquire the skills aimed at ensuring that appraisal is effective, purposeful and mutually beneficial.

N.B.

Further notes and guidance on Staff Appraisal can be obtained from the Human Resources Department

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Related documents

Staff Development Policy
Induction Policy