

APPRAISAL POLICY

This document (previously archived as: *HR/HR Policy and terms and conditions/Appraisal/V1-July 2009*) was incorporated within the UPR series on 11 December 2015.

The following abbreviations are used in this document:

HR	Human Resources
SBU	Strategic Business Unit
UPRs	University Policies and Regulations

“Appraisal Policy

1.1 Purpose and scope

The purpose of the appraisal process is to ensure that the individual's contribution to the department is recognised, that individuals are clear about what is expected of them, provides a constructive environment to discuss work priorities and targets, provides an opportunity to discuss any development needs for both the current role and for future career opportunities, allows for identification of and discussion about difficulties or obstacles which hamper effectiveness and helps to focus staff development spend.

The scheme includes an annual and 6 month review but this should not be the only time that individuals receive direction, feedback or recognition. Managers should ensure that informal feedback takes place on a more regular basis and any concerns about performance are discussed at the time with the aim of supporting an improvement.

The appraisal is mandatory and will apply uniformly to all staff, whether on open-ended or fixed term appointments. The appraisal applies to all Visiting Lecturer staff working more than 110 hours in an academic year and for casual support staff on a 0.25FTE contract or greater.

Although Visiting Lecturers teaching less than 110 hours per annum are not specifically included in this scheme, the option to participate continues to be made available to them.

1.2 Process and Time Scales

The appraisal process cycle is illustrated in point 1.3 below.

The following timescales should be applied in implementing the appraisal process cycle:

- The annual appraisal is held annually between 1 April and 30 September. The precise timing of the appraisal is decided upon by each manager within this 6 month period but ideally should be timed to allow the content of the business plans and UH development priorities to be considered in setting targets. A further 6 month review is held between 1 October and 31 March.
- Appraisees should be given at least 3 weeks notice by the appraiser of a pending appraisal meeting.
- The Appraisal Preparation Form must be completed by the appraisee and given to the appraiser at least 7 days before the appraisal meeting. The appraiser has the right to postpone the meeting if it is felt sufficient time cannot be given to reviewing the appraisal preparation form.
- Where either party proposes to introduce reports, information or review data etc. into the appraisal process, such information must be made available to the other party in advance of the appraisal meeting.

- Any additions made by the appraiser to the appraisal preparation form should be shown to the appraisee at least 2 days before the appraisal meeting. The appraisee has the right to request postponement of the appraisal meeting to a later date if sufficient time has not been given.
- After the appraisal meeting either the appraisee or appraiser can type/ capture the agreed work priorities and targets on to the Action Plan template. This should take place no later than 7 days after the appraisal meeting.

1.3 Appraisal Process

The appraisal process is a cycle of meetings and actions which repeat themselves on a yearly basis and are supported by two key standard forms. This is shown below:

Appendix 1

Appraisal Cycle



1.4 Appraisal Training & Development

Appraisal awareness and skills training is compulsory for all appraisers, consistent with the University's Equal Opportunities Policy.

Appraisees are invited to short sessions aimed at increasing their understanding and contribution to the effectiveness of the appraisal.

HR People Development is responsible for co-ordinating appraisal training programmes and with HR colleagues, for giving guidance and advice to appraisers and appraisees on the scheme and any issues emerging from its implementation.

1.5 Confidentiality & Uses of information

The appraisal preparation form is confidential to both parties. Where the appraisee has supplied additional documentation to further support certain elements of their appraisal, the appraiser will ensure that any document provided will remain confidential to both parties, except by mutual agreement.

In accordance with the above, the appraiser is responsible for the confidential storage of completed appraisal forms and supplementary information.

The Action Plan may be shared with other staff in order to meet a particular need. These needs may include, but are not limited to, resource planning, workload planning and collation of development needs. The action plan should not be shared more broadly than is reasonable to meet these needs.

1.6 Appeal

It is intended that both the appraisee and appraiser will accept the content of the documents and this is acknowledged by their signatures.

Where agreement cannot be made on a substantial part of the Action Plan, or where there is dissent or concern at how the appraisal has been conducted or recorded, either party has the right to appeal within 10 days of the appraisal meeting to either the Dean or Senior Management. In such cases, the role of the Dean or Senior Manager will be to decide whether the conclusions of the appraiser were reasonable in the circumstances, particularly in relation to standards applying across the department as a whole. In the event of an appraisee still being dissatisfied with the decision, the provisions of the University's grievance procedure may be invoked.

Dissent or concern may occur for example through; different views over appropriate workloads, disagreement about suggested tasks or different constraints, different views on suitable performance standards, different perceptions of training or development needs or, for other similar reasons.

1.7 Equality and Diversity

The appraisal process has an overall contribution to make in forwarding the equality & diversity policies of the University, principally by ensuring fair and equal access to, and participation in meaningful development. Within the operation of the scheme, the University's commitment to equality of opportunity will be reflected both in specific outcomes for individuals and in the processes by which the scheme is implemented.

Appraisees and appraisers are encouraged to use the appraisal process as an opportunity to discuss any disability or equality related matter which may require reasonable adjustments in respect to work loads and targets. There may also be a requirement for specific support and development to meet targets and career aspirations.

Further advice on disability and equality is available from either the Equality Office on equality@herts.ac.uk or the Head of Disability Services on disability@herts.ac.uk.

1.8 Monitoring & Evaluation

The Heads of SBU's are accountable for ensuring the appraisal process is followed in line with policy.

Human Resources will undertake random sampling appraisal checks on an annual basis across the University to monitor quality and ensure consistency and fairness.

The documentation and procedures of the appraisal scheme are reviewed periodically.”

Mrs S C Grant
Secretary and Registrar
Signed: **11 December 2015**