

Policy

Title: Appraisal – ERE staff only

From: HR/Reward

Date: 28 May 2014

Introduction

Appraisal is a key tool for developing and enhancing individuals and University performance. The review for staff based within the job family, Education, Research and Enterprise (ERE) will be assessed against four areas of contribution: education; research; enterprise and; leadership, management and engagement.

Guiding Principles

The framework and operation of the appraisal process is guided by the following principles (listed in alphabetical order):

Alignment of Goals - Appraisals will be informed by targets cascaded top-down from University level, where possible, to support the attainment of departmental and University-wide goals and University values.

Confidentiality - Appraisal discussions will be treated as confidential. Appraisal records will be stored securely and confidentially on the HR system and subject to Data Protection Act 1998, along with all other personal data. Only those directly responsible for the completion of the appraisal process will have access to an employee's appraisal records.

Development Requests - Development requests will be prioritised at departmental level and agreed subject to operational requirements and resource constraints.

Emphasis of the Future - The majority of the appraisal will be future-focused, modelled on existing 'Personal Best' discussions. This will include:

1. Vision and intent
2. Processes rather than outcomes, including development of competencies.
3. Support, resources and training required.

Fairness and Consistency - It is expected that all appraisals will be carried out within a framework of equality and diversity, as outlined by the University's Equal Opportunities Policy. All appraisals should be carried out in a fair and equitable way, with due consideration paid to an individual in relation to the process and outcomes of appraisal.

Flexibility - The University's appraisal framework sets the core principles and expectations of the appraisal process, but flexibility of emphasis will be appropriate to meet individual faculty or departmental needs.

Knowledge, Skills and Behaviours - The assessment of knowledge, skills and behaviours is an integral part of the appraisal process and discussions should encompass not only "what" is achieved, but also "how" it is achieved.

Ongoing Process - Enhancing performance and developing staff is an ongoing process of which appraisal is just one part. An interim review and regular one-to-ones are recommended to provide focus; to enable the review of objectives and personal development plans in line with changing circumstances, and; to facilitate an ongoing dialogue between appraisee and appraiser.

Participation - All appraisees and appraisers should participate fully and actively in the appraisal process.

Records - Appraisal records will be fair, balanced, accurate and supported by evidence and example and agreed by both the appraisee and the appraiser as a true reflection of the appraisal meeting, prior to submission to the second line manager review.

Responsibility - Appraisal is a shared responsibility between the appraisee and line manager. Both should set aside sufficient time and resources to allow for a thorough and effective appraisal. It may be appropriate to delegate the appraisal to another manager and the process and guidance is available on the HR intranet.

Role of Electronic Documentation - Appraisal documentation is electronic - for ease of monitoring and reporting - but face-to-face discussions remain at the heart of the process. The quality, openness and honesty of the appraisal discussion are paramount.

Scope of the Appraisal Discussion - A thorough appraisal should encompass five main areas of discussion:

1. Joint review and update of Job Description*
2. Assessment of contribution to the University
 - Review achievement against past objectives
 - Set expectations via future objectives
3. Behavioural competencies
4. Career aspirations
5. Development Objectives

*Job descriptions should be reviewed in line with the Local and National Framework agreements, the Hay job evaluation process and the ERE pathways in place at the University of Southampton.

Training - Appraisees and appraisers should be equipped with the appropriate knowledge and skills to enable them to actively participate in the appraisal process. A variety of training is provided to enable this, and some training elements are mandatory.

Use of Outcomes - The outcomes of appraisal discussions will be used to inform key HR processes, including:

1. Promotions
2. Learning and development plans
3. Capability discussions
4. Assessment of satisfactory performance

Policy

All employees of the University can expect to be appraised once per year.

- For employees at Level 7, appraisals should take place between September and December each year.
- For employees at all other levels, appraisals should take place between January and May each year.

The following ratings, and associated definitions, apply to appraisal outcomes. These ratings are further explained in the related guidance and will be defined locally at a disciplinary level within faculty.

Rating	Definition	Indicative Proportion of Employees Expected to Achieve this Rating**
Box Five	<i>Expectations Exceeded Significantly</i>	5 per cent
Box Four	<i>Expectations Exceeded</i>	15 per cent
Box Three	<i>Expectations Fully Met</i>	75 per cent
Box Two	<i>Expectations Partly Met</i>	3 per cent
Box One	<i>Expectations Not Met</i>	2 per cent

**The percentages above represent the expected distribution of performance ratings. Any box 4 and 5 ratings will be moderated and are subject to formal approval.

Maintaining this policy

The University will monitor the effectiveness of this policy and its general compliance within the organisation. This policy will be kept up to date and amended accordingly to reflect any changes in response to revised legislation and applicable standards and guidelines. . All policies within the University of Southampton are subject to equality impact assessment prior to implementation or modification.

This policy will be reviewed at least annually in partnership with the appropriate recognised trade unions.

DATE	REV No	CONTENT	PREPARED BY	APPROVED BY
Sept 2014	1	New policy	A-M Ciarleglio	UCU JNC