

# APPRAISAL PROCEDURE



## 1. Introduction.

Appraisal is intended to benefit both the institution and the individual. By offering structured feedback, the process is intended to help members of staff achieve results and become more effective in their current or future roles. In return, individuals gain a renewed sense of career direction and are better able to realise their full potential.

Giving feedback and setting objectives is an essential part of any manager's role. The appraisal system simply formalises this process and supplements day-to-day discussions on the job. Its value lies in allowing both parties to stand back from the job in hand and to take a wider view. However, it should not be relied upon to solve problems in its own right – it cannot replace the daily interaction, support and direction needed for everyone to function well at work. Offering feedback and guidance should be part of the manager's daily role, so that the appraisal becomes what it is intended to be – a summary of performance with no surprises.

## 2. Aims and Objectives.

The aim of the appraisal scheme is to further improve staff achievement through a systematic process of individual review, goal setting and action planning. More specifically, the scheme has the following objectives:-

- To provide staff with the opportunity for formalised, structured feedback on performance
- To communicate to all staff, through dialogue and discussion, the corporate goals of the institution
- To assist staff to set objectives and develop action plans which are consistent with the goals of the institution
- To provide a structured process for identifying staff training needs
- To contribute to the personal and career development of staff.

The appraisal scheme applies to all staff and it is a condition of employment that they participate in the scheme.

## 3. Equal Opportunities.

The appraisal process must work fairly and equitably for all staff. Appraisers must be aware of their responsibilities under the law not to discriminate on the grounds of gender, race or disability. It is hoped that by operating the appraisal scheme to the benefit of all support staff, the Students' Union will be promoting equality and diversity.

**4. Management of the Scheme.**

The annual appraisal cycle will be performed by all Line Managers and will be monitored by the Membership Services Manager and General Manager.

**5. Training.**

There will be training made available for all appraisers. Appraisees can discuss the process prior to the appraisal with the Membership Services Manager or General Manager should they wish.

**6. Appraisal Reports.**

A copy of the agreed record of the appraisal shall be placed on the employee's Personnel file.

**7. Monitoring, Review and Evaluation.**

The procedures shall include arrangement for the monitoring, review and evaluation of the scheme.

**8. The Appraisal Process.**

***How have appraisers been identified?***

The appraiser should be the appraisee's Line Manager, who has knowledge of the appraisees work.

In some areas, it may be appropriate for another Line Manager to have input in to the process because of their relationship with, and responsibility for, the appraisee. Where other views are sought, this should be done in a confidential and appropriate manner.

***Can an alternative appraiser be requested?***

If the choice of appraiser is thought to be inappropriate for some reason, this should be raised with the Membership Services Manager, if that is possible. Failing that, the matter must be referred to the General Manager.

***How often will appraisal take place?***

The process will take place annually, between the months of March and June. The work of the appraisee over the proceeding 12 months will be discussed at the meeting. Appraisals will not take place during the probation period for new staff.

***What should happen prior to the appraisal?***

All appraisees should complete the "Appraisee Preparation Form" and hand a copy to their appraiser a minimum of one week before the date of the appraisal. This is then used by both the appraisee and the appraiser as a means of establishing topics and outcomes from the appraisal.

***What happens after the appraisal?***

The appraiser is required to summarise the discussion and complete all the sections of the appraisal form. The form is then passed to the appraisee in order that their comments can be noted on the documentation.

The appraisee should also complete the Appraisal Evaluation form, which is then sent, in confidence to the Membership Services Manager or General Manager. This is to ensure that a constant review of the appraisal system takes place.

The appraiser will need to carefully determine the opportunities for staff development that can be made available within the Department. No commitment should be made to development activities without consulting the allocated training budget for the Students' Union, or for particular projects, the Membership Services Manager.

After both the appraiser and the appraisee have agreed the outcomes of the appraisal and signed the documentation, the forms are then passed to the Membership Services Manager. If there is a failure to agree on the outcomes, then the appraisers Line Manager will need to resolve the issue and if necessary, conduct another appraisal with the appraisee.

***Is there any follow up?***

The appraisee and appraiser should arrange an interim review after approximately six months. The purpose of this meeting is to check progress against the agreed objectives, evaluate the value of any training undertaken and discuss any relevant issues around performance.

**9. Access to Appraisal Documentation.**

Appraisal forms, once completed, are held in the Students' Union Office, with the following staff able to access them:

- The Line Manager
- The Membership Services manager
- General Manager
- The President
- The employee

## **APPRAISAL GUIDANCE NOTES.**

### **1. Introduction.**

These notes are to be used by both the appraisee and appraiser as a guide to both preparing and conducting appraisals.

The three main aims of the appraisal system are:

- To review performance
- To set key personal objectives
- To identify and agree training needs

### **2. Preparation for the Appraisal.**

The appraiser and appraisee should agree a date for the appraisal. At this point, the appraisee should complete the "Appraisee Preparation Form" and give the appraiser a copy a minimum of one week before the appraisal. The points that the appraisee details on the preparation form will then be used to inform the agenda for the appraisal itself.

### **3. The Appraisal.**

The appraisal is considered under the following headings, as detailed in the appraisal documentation. The appraisal is a review of the appraisee's work over the previous 12 months.

#### ***Significant Changes to your Job.***

Use your job description to assist in reviewing the content of the job. The appraisee should consider whether they are still carrying out all the duties as detailed, if there are new duties or ones they no longer have responsibility for. The appraisee and appraiser can therefore agree any permanent changes to the job description.

#### ***Areas of success.***

The appraisee and appraiser should think back over the last twelve months to specific achievements and successes, relevant to the appraisee's work. Think about why they have been successful, what impact they had on you and the Students' Union and how this can be repeated in future work.

#### ***Areas for Development.***

It is here that consideration should be given to why areas of the appraisees work have not necessarily been so successful and why that is. It could be for reasons outside of the appraisees control or equally due to their work performance, which could be improved through training and support.

#### ***Review of Training Activity.***

Here, the appraisee needs to think back to any training events they have attended over the last 12 months and how they have contributed to their ability to carry out their job more effectively. If there has been a number of training events, consider what was most

effective and why and this could help indicate what style of training the appraisee prefers.

***Review of Key Personal Objectives.***

This section looks specifically at the objectives agreed at the previous years appraisal. Each staff member should have agreed a number of key objectives to be achieved over the appraisal period. (Key Personal Objectives link to the departmental objectives in the departmental plans, which are derived from the Students' Union Strategic Plan).

If this is the appraisee's first appraisal, then this section is not appropriate. Consideration will need to be given to what achievements the appraisee has made against the agreed objectives from the previous appraisal. Some may have been successfully completed and others not. The appraisee can usefully prepare for their appraisal by reviewing these achievements, giving some consideration to issues that either assisted or prevented them in achieving these objectives.

***Key Personal Objectives for the forthcoming year.***

The appraisee and the appraiser will need to agree a further set of Key Personal Objectives for the coming year. The objectives must be relevant to the appraisee's work, specific so that there is no ambiguity, measurable, so that there is an outcome and set within a timescale. Ideally, there should be between 3 – 5 objectives set for each member of staff.

The appraiser and appraisee should consider what they feel is achievable and relevant to the appraisee's job. Both will also need to give some thought to any training that might support the achievement of these objectives.

***Identified Training Needs.***

This section brings together any training needs identified throughout the appraisal discussion. The training agreed between appraisee and appraiser must be related to the appraisee's work and/or agreed personal objectives and is to be completed over the following twelve months.

***Appraiser comments.***

Here is where your appraiser can sum up the appraisal outcomes and make any additional relevant comments.

***Appraisee comments.***

This is the opportunity for the appraisee to make any additional relevant comments.

***Interim Review.***

The Appraisal Interview must be followed up with a six monthly interim review. The purpose of the review is to ensure progress is being made in the achievements of objectives, look at the impact that any training has had on the appraisees work and discuss any particular issues around performance. The interim review keeps the dialogue between appraisees and appraisers open, and maintains the positive momentum that the appraisal interview has begun.

The interim review should not be the only discussion that staff and their managers have. There will be various occasions, on an informal basis that issues are raised and problems resolved and these should not be seen as insignificant.