

# **Performance Review and Development Scheme**

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**Appendices**

Flow Chart - The Performance Review and Development Process

**Associated Templates**

Performance Review & Development Annual Appraisal Discussion Template

Pre meeting reflection form

Developmental Record Form (Optional)

## Terms

The following terms indicated to the left of the page are used throughout the document, to allow for easy reading. Wherever you read these terms, you may want to substitute one of the alternative terms, found on the right, to make the document more meaningful to you.

Manager	For Manager also read Academic Leader, Team Leader, Subject Group Leader, Programme Manager, Head of Subject, Field Leader; Head of School; PVC Dean or Director
School	For School also read Department, Subject Group, Team, University
Director	For Director also read Deputy Vice Chancellor, Head of Human Resources
Plan/Plans	For Plan or Plans also read Objectives and/or Priorities

## 1.0 INTRODUCTION

- 1.1 The performance review and development scheme is one of the key processes enabling the effective translation of the overall aims of the strategic plan into individual responsibilities and performance.
- 1.2 The scheme :
- Facilitates the development of staff informed by subject group/team, school and departmental plans.
  - Promotes the personal and continued professional development of all staff.
  - Introduces self-appraisal together with accountability for key activities to support the delivery of the school, department and university strategic plans.
- 1.3 The outcome of the performance review and development scheme will identify individual learning and development needs. These needs will be taken into account, along with generic development needs, to form the basis for the school/departmental learning and Development Plans. These Learning and Development plans are established monitored and reviewed through the School/Departmental executives or management teams and the Vice Chancellor's senior management team.
- 1.4 The scheme is presented in the form of:
- Guidance notes indicating where possible best practice.
  - Appraisers guide.
  - Guidance notes for meetings
  - Performance review and development documentation
- 1.5 The senior management team will also receive reports on the operation and development of the scheme.
- 1.6 There are a number of documents which are necessary to the effective operation of the scheme. These may include:
- School/Departmental plans.
  - Job Description and Person Specification.
  - Teaching and Learning Strategy.
  - Research and Scholarship Policy.
  - Appropriate terms and conditions.
- 1.7 It is the responsibility of the university to ensure that individuals are adequately prepared to participate in the performance review process. However, all appraisers and staff also have a responsibility to ensure that they are fully prepared to engage in the process, Support is available from the Human Resources department.

## **2.0 GUIDANCE NOTES FOR Appraisees**

### **2.1 Purpose**

2.1.1 The performance review and development scheme is a process where staff can plan their development for the coming year within the context of the university, school or departmental plans.

2.1.2 This process is an ongoing one rather than an annual event and these guidance notes highlight the key events within the academic year that will contribute to the process.

2.1.3 The scheme offers the chance for individuals to:

- Review achievements and progress since the last discussion with an individual's Manager.
- Discuss matters affecting the way in which individuals carry out their role and responsibilities.
- Look forward over the next year and agree what individuals hope to achieve, by setting objectives.
- Discuss what support or actions will be needed to meet agreed objectives.
- Create an action plan, which also includes recommendations for appropriate training and development.

2.1.4 The scheme is not:

- A chance for an appraiser to criticise unfairly.
- Where issues relating to professional competence or other concerns will be brought to an individual's attention for the first time.
- Directly linked to national and local procedures covering probation, pay, promotion, disciplinary and grievance issues.
- An opportunity for salary or grading changes to be agreed.
- The occasion to make promises that cannot be carried out by either individuals or managers.

### **2.2 Underpinning Principles**

#### **2.2.1 Equal opportunities**

2.2.1.1 The scheme must operate fairly and equitably for all staff, within the context of the university's equal opportunities policy. Managers must be aware of their responsibilities in law and within the university's policies and procedures not to discriminate directly or indirectly on grounds of age, sex, marital status, racial origin, disability, sexual orientation, gender re assignment, maternity trade union membership (or non-membership) or political or religious beliefs, in the implementation of the process.

#### **2.2.2 Openness and Confidentiality**

2.2.2.1 Individuals have the right to see everything written that relates to their review, and all information relating to the review process will be treated with a high degree of confidentiality. The only record kept is that signed by both individual and manager.

### **2.2.3 Shared Responsibility**

- 2.2.3.1 The success of the scheme is the responsibility of each person involved. Pre-meeting reflection and a willingness to receive (if not agree with) constructive feedback from their appraiser are essential on the part of the individual. The appraiser also needs to reflect on how they have supported the individual in meeting objectives over the past year, and be prepared to receive constructive feedback from them. Both should be willing to create an action plan with realistic objectives, and be committed to its review during the year.
- 2.2.3.2 A form, which has been devised to help with personal reflection, is available. (Pre-Meeting Reflection Form SD07).
- 2.2.3.3 The performance review process is separate from procedures concerning the determination of competence in the workplace.
- 2.2.3.4 The performance review process must, as outlined below, be credible and have professional standing. To this end, the agreed outcomes must be achievable and deliverable. There must also be adequate resources available for each stage in the process.

### **2.2.4 Benefits of the Scheme**

- 2.2.4.1 Performance review and development is a key component in the management and delivery of services to our customers, and highlights the relationship between the individual, the manager and the organisational objectives. It has benefits for the individual, for managers/appraisers carrying out the reviews, and for the university and its customers.
- 2.2.4.2 An individual benefits by having the opportunity to:
- Recognise achievements and identify strengths.
  - Clarify and agree key objectives, understanding how these fit with the strategic aims of the University.
  - Identify the development and support needs required for the achievement of objectives.
  - Explore career and professional development.
  - Explore issues that effect professional role and responsibilities.
  - Offer constructive feedback to the Manager, and about the organisation.
- 2.2.4.3 Managers benefit by having the opportunity to:
- Understand how individuals perceive themselves in relation to their role and practice;  
Offer constructive feedback to staff concerning their practice;  
Identify and support individual learning and development needs, and the learning and development needs of the team;  
Invite constructive feedback about and consider the impact of their own management style on those they manage, and where appropriate, the team; and  
Understand common issues, perceptions and concerns which affect staff, where appropriate, and without breaking confidentiality, to use this to inform organisational planning and management processes.

## 2.3 Planning

- 2.3.1 The university's strategic plan is both informed by and informs the objectives for schools and departments. The strategy for the achievement of these objectives will be evolved through an iterative process to which all staff can contribute. The product of this will form the school/departmental plans and it is in this context that individuals develop their own plans.
- 2.3.2 The development of the subject group, team or workplace plan/team objectives will usually take place between April and September. This planning process has to be informed by the individual strengths, skills, knowledge and experience contained within subject groups, teams, and all members of staff will be consulted and this will inform the development of the plan/objectives.
- 2.3.3 Whilst the university, school plans provide the overarching developmental framework for groups and individuals it is important that the needs of an individual colleague operating within the concept of academic freedom may, from time to time, self-determine objectives which may not be obviously compatible with the overall planning exercise but contributes to the university's strategic aims in some way.
- 2.3.4 Cross department/subject activities and university-wide roles will also be taken into account.

## 2.4 Individual Reflection

- 2.4.1 The performance review and development scheme for staff is based on the principle that staff regularly review their own performance. Reflection is a crucial part of the performance review and development scheme. It provides an opportunity to consider work, achievements, strengths, and those areas, which need development.
- 2.4.2 A pre-meeting reflection form (SD07) is available for personal use. It is for the individual to choose which questions to answer. However, individuals are likely to get most out of the meeting if they can provide as much information as possible. There are no right or wrong answers. Individuals may add other observations for the Manager to consider. Before completing the form individuals may wish to discuss the questions with colleagues or others with whom they work regularly.
- 2.4.3 The review of performance should be based upon the regular evaluative review of all the evidence available as outlined in the performance review and development forms.
- 2.4.4 This evidence base may include (but should not necessarily be restricted to):
- Consideration of responsibilities, duties and activities concerned with the job description.
  - Reflections on previous year's objectives (where applicable).
  - Results from peer review.
  - Curriculum development and teaching and learning materials.
  - Scholarship and research.
  - Development opportunities taken or offered over the past year.
  - Challenges and difficulties that you have been faced with, and the extent to which you have been able to meet agreed objectives.
  - Student results.
  - Student feedback.
  - External examiner feedback.

- Professional body assessments.
- Staff development undertaken.
- Critical reflection on your role following any restructuring.
- Looking ahead – your hopes or expectations for your role and training and development needs in relation to this.
- Support needed from your manager, or others.
- Customer feedback, students, externals, other peers and colleagues.
- Other external activities.

2.4.5 This evidence provides a basis for self-appraisal. It is the intention of the scheme that the above appropriate evidence should be collected and prepared as a critical self-appraisal as a basis for the discussion. It is on the basis of this discussion that the individual development plan is drawn up. The personal development plan will cover a wide range of areas drawn from practice, teaching, supporting student learning, assessment, scholarship, research, consultancy, external and/or professional activities.

2.4.6 The pre-meeting reflection(SD07) form is an informal record primarily used for your own preparation and reflection.

## 2.5 Objectives

2.5.1 In the context of the University, school/departmental plans and personal reflection, individuals formulate their objectives in relation to the following key areas (if applicable):

- Role and responsibilities.
- Teaching and learning.
- Recognising own strengths and weaknesses.
- Scholarly activity.
- Research and consultancy.
- Other roles and responsibilities.
- Forward planning and development needs (personal and professional).
- Team working.

## 2.6 The Meeting

2.6.1 For the purpose of the performance review, staff will be considered to be competent at the start of the performance review process.

2.6.2 A pre-meeting reflection form may be completed prior to the formally agreed meeting of the individual and Manager to assist in preparation for the meeting. This can be used at the meeting but is not a requirement.

2.6.3 The workload and individual objectives should be formally agreed at a meeting of the individual and their manager and will take into account the concept of a balanced workload, including all the factors specified in national and local agreements. Prior to this meeting, discussion on the key areas, set out below, should have taken place. The discussions should include the formal review of the performance/development of the individual compared with the objectives agreed at their last formal meeting.

- 2.6.4 The outcome of the meeting should include, where appropriate, the following:
- Confirmation of the purpose of performance review and development and processes involved.
  - Roles and responsibilities for the coming year.
  - Scholarly review and developments.
  - Research and consultancy activities.
  - Draft teaching commitments.
  - Review of the previous year's activities.
  - Objectives for the forthcoming year.
  - Identification of personal/staff development and/or training needs and proposed means of addressing these.
  - Career aspirations.
- 2.6.5 The individual member of staff and the appraiser will document this and the meeting record will be agreed and 'signed off' by both parties. In the event of a disagreement over the outcomes of the process which cannot be resolved by the appraiser's/manager's manager, the director will mediate in order to reach agreement.
- 2.6.6 The manager/appraiser should (informed by the discussion) consider how best the learning and development needs of individuals and teams may be met, and will feed this information to the head of school or head of department for incorporation into school/departmental learning and development plans and if appropriate, school/departmental executive meetings.

### **3.0 APPRAISERS'/MANAGERS' GUIDE**

3.1 This guide is designed to give the main purpose of and process for the scheme.

#### **3.2 Purpose**

3.2.1 The overall purpose of the scheme is to facilitate individual development linked clearly to the university's strategic aims and operational needs.

3.2.2 All staff need to be given the opportunity to develop their careers and meet individual aspirations. However this is only practical where these aspirations can be connected to the plans of the university.

#### **3.3 Communicating the Scheme**

3.3.1 To ensure that this process is effective it is important that all staff appreciate and understand their role in the process. This will be facilitated by guidance notes for staff but a crucial role for managers will be to explain, guide and re-assure their colleagues as the scheme is introduced.

3.3.2 The scheme is an essential part of the planning process for all staff and is designed to encourage the direction of individual effort towards team, department and university objectives whilst recognising the importance of individual development needs.

3.3.3 To achieve ownership of those objectives all staff need to be involved in the development of school/departmental plans.

#### **3.4 Establishing School/Departmental Plans**

3.4.1 All staff should be consulted on the plan/objectives and encouraged to contribute ideas and suggestions to ensure that they are a robust and practical indicator of how the team will contribute to the strategic aims of the university.

3.4.2 It is through this process that the team will identify its priorities and areas for development. This is an essential part of developing a self-critical professional community.

3.4.3 It will be the manager's responsibility to deliver the plan and show how it links to the university plan and, if appropriate, the school/departmental plan.

#### **3.5 Linking the School/Departmental Plans to Individual Work**

3.5.1 Once the plan and objectives are agreed and in place all staff are asked to reflect on their contribution to the achievement of this. Colleagues should reflect specifically on how best to underpin delivery of their work and what development needs they have, to allow the plan/objectives to succeed and their own careers to develop. They will also need to reflect on how the development activities can be delivered within the university's current resources.

3.5.2 Staff should also be encouraged to consider specific issues such as areas of responsibility and research proposals, if appropriate.

3.5.3 Managers also need to reflect on their own contribution to the successes of the plan and their own development needs in the same way.

- 3.5.4 Managers will consider how best the staff development needs of individuals and teams may be met and will feed this information to their manager for incorporation at school executive meetings or in the learning and development plans.

### **3.6 Individual Reflection (see separate notes of guidance)**

- 3.6.1 The University of West London performance review & development scheme for all staff is based on the principle that staff regularly review their own performance. The review of performance for staff should be based upon the regular review of all the evidence available.

- 3.6.2 This evidence base may include (if appropriate):

- Consideration of responsibilities, duties and activities concerned with the job description.
- Reflections on previous year's objectives (where appropriate).
- Results from peer review.
- Curriculum development and teaching and learning materials.
- Scholarship and research.
- Customer feedback, students, externals, other peers and colleagues.
- External examiner feedback.
- Professional body assessments.
- Development opportunities taken or offered over the past year.
- Challenges and difficulties faced, and the extent to which you been able to meet agreed objectives.
- Critical reflection on role following any restructuring.
- Looking ahead – your hopes or expectations for your role and training and development needs in relation to this.
- Support needed from your Manager, or others.
- External activities.

- 3.6.3 This evidence provides a basis for pre-meeting reflection. It is not the intention of the scheme that the above evidence should be presented to the manager/appraiser. Rather each member of staff should collect the evidence and he/she should prepare a critical reflection as a basis for the discussion with the manager/appraiser. It is on the basis of this discussion that the individual development plan is drawn up. The personal development plan will cover a wide range of areas covered by personal and professional development.

### **3.7 Preparation for Individual Meetings**

- 3.7.1 As this period of reflection comes to an end Managers should schedule meetings with all staff. The meeting will be to agree a draft, workloads and areas of responsibility. To ensure that the meeting is followed through, outcomes should be agreed between the parties concerned to show what can be expected over the next year. This will also be linked to development activities that need to be resourced and achieved.

- 3.7.2 It will also be at this meeting that individual scholarly review & development may be discussed whilst maintaining the integrity of the principle that scholarly activity is, in essence, 'self-managed' and research proposals and other action plans will be considered. Both parties need to be aware of the group plan as well as the provision of paragraph 2.3.3 in the guidance notes.
- 3.7.3 To ensure that the meeting is followed through, outcomes should be agreed between the parties to demonstrate expectations over the coming year.
- 3.7.4 The activities should be:
- Realistic, achievable and affordable.
  - Linked to individual aspirations.
  - Linked to the school/departmental plans.
- 3.7.5 The focus on the first meeting will be planning for, and agreeing, future actions. It will also be important to discuss how the outcomes will be reviewed over the next year.
- 3.7.6 The following areas should, if appropriate, be covered during the meeting:
- The reflection form and self-appraisal summary.
  - Draft teaching commitments.
  - Roles and responsibilities.
  - Scholarly activity review and development.
  - Research and consultancy activities.
  - Personal development activities.

### **3.8 Guidance Notes for Meetings**

#### **3.8.1 Notice and Preparation**

- 3.8.1.1 The manager/appraiser should give an individual at least one week's notice of the meeting and send a blank copy of the pre-meeting reflection form.
- 3.8.1.2 Both the manager/appraiser and colleague should then prepare for the meeting using the blank form for preparation notes if they wish.
- 3.8.1.3 The preparation will draw together the period of reflection and allow the meeting to be focused and productive.
- 3.8.1.4 Make sure the manager/appraiser has a copy of the completed pre-Reflection form, if appropriate.

#### **3.8.2 Location and Timing**

- 3.8.2.1 The meeting should be in private, preferably not overlooked by anyone. It should not be subject to interruptions, such as telephone interruptions. As a guideline the meeting will probably last about 1 to 1.5 hours.

3.8.2.2 The agenda for the meeting should be drafted by the manager/appraiser and include:

- An explanation of the scheme.
- Discussion around the pre-meeting reflection form if used.
- The production of an agreed action plan.
- Action/objectives for the next year.

3.8.2.3 For those appraising staff with health conditions or disabilities, the regular appraisal meeting is an opportunity to review arrangements to determine what, if any, reasonable adjustments may be required to organisation of work, equipment or tasks to ensure safety and wellbeing.

Are any further adjustments required? Has the situation changed?

Workplace and activity risk assessments must take account of any increase in risk to vulnerable persons, including those who may be more at risk due to their age or capability. The risk assessment process will assist in identifying reasonable adjustments and developing safe systems to ensure the health, safety and wellbeing of all involved or affected by an activity. Risk assessments and systems of work must be regularly reviewed to ensure they are suitable and sufficient.

The Safety Office can provide advice and training on how to complete a risk assessment.'

### **3.8.3 Completion of the performance Review and Development Form**

3.8.3.1 At the meeting it would be advisable for both parties to produce notes. The manager/appraiser will provide a blank form and the aim should be to complete notes on the form as the meeting progresses. On completion of the meeting the manager should commit to typing up the form and returning it for both parties to sign it off within a week.

3.8.3.2 The form will then be passed to the manager's/appraiser's manager who will sign the form and return it to the manager/appraiser. The latter will copy the form and pass the original to the colleague and retain the copy, sending a copy of the form to HR Services.

## **3.9 The Future**

3.9.1 This process is designed to be on going and managers should review the development forms of their team from time to time. They should also be used to inform the next academic year or departmental planning process. As the anniversary of the individual meeting approaches both the individual member of staff and the manager/appraiser will need to review the outcomes and consider progress toward objectives and development aims and linkages with the school/departmental plan.

## **3.10 Appeal**

3.10.1 A member of staff, who has a complaint about the performance review process, may report the complaint to the HR department through their HR manager.

3.10.2 If appropriate, a member of staff would have the normal rights of appeal through the grievance procedure.

## Appendix 1

### THE PERFORMANCE REVIEW AND DEVELOPMENT PROCESS

#### Agree date for meeting

- 2 weeks notice recommended
- 1 week minimum
- Explanation of process where required
- Relevant documents for review
  - Previous objectives
  - Pre meeting reflection form if appropriate
  - Learning and development records

#### Preparation for the meeting

- Previous objectives
- Pre meeting reflection form if appropriate
- Learning and development records

#### Meeting and discussion

- Review past
- Agree objectives
- Agree learning and development
- Notes made on template and developmental plan provided

#### Follow up Action

- Summary of the review entered on template
- Agreed and signed
- Copies kept by both parties for regular review.
- Copy sent to HR Services