

## STAFF APPRAISALS

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### PURPOSE

ELATT is committed to high quality staff management that:

- Provides staff with clear measurable objectives.
- Ensures management are able to measure and manage performance.
- Makes demonstrable links between staff objectives and the business plan.
- Establishes training and development plans for all staff that supports their performance at work.
- Learns from previous experience and applies lessons to future plans.

This procedure provides staff and managers with guidelines on how objectives should be set, appraisals conducted, performance monitored and training and development plans developed to contribute towards high quality staff management.

### SCOPE

This procedure applies to all full-time, part-time, permanent and temporary positions of over twelve months duration.

Temporary positions of less than twelve months duration and sessional staff should have clear objectives set through a truncated version of this procedure.

### PERFORMANCE INDICATORS

The application of the procedure will be monitored through the successful production of appraisals each year

The effectiveness of the procedure will be monitored through measuring staff satisfaction with management and understanding of the business plan in the annual staff survey, and through achievement of the business plan and clear understanding of where failures to meet the business plan occur.

### DEFINITIONS

The financial year at ELATT runs alongside the academic year from September to August.

### RESPONSIBILITY

All managers are responsible for ensuring that the appraisal procedure is applied to every member of staff for which they are responsible and that suitable paper records are prepared and included in personnel files.

All staff are responsible for ensuring that they understand and engage with the appraisal policy and procedure and strive to understand how their work and role fits with the overall business plan.



## REQUIREMENTS

### **Support and Supervision**

ELATT promotes a working environment in which staff are encouraged to raise issues, difficulties and successes with managers informally

Nevertheless, managers must provide adequate support and supervision throughout the year to all staff. This may take the form of regular formal 1:1 sessions to discuss progress, issues and professional development. It may be more informal occasional discussion.

Managers must ensure that time is put aside however for 1:1 discussion regularly to ensure that staff have an opportunity to raise concerns. Even though managers must ensure that informal support is on-going, managers should commit to formal 1:1 sessions on at least a quarterly monthly basis.

Such support and supervision must make reference to appraisal objectives and ensure that plans are in place to achieve them. Managers should ensure that staff are alerted to any perceived difficulties with performance through support and supervision to ensure that there are no surprises in appraisal at the end of the year and that staff have the opportunity to improve performance.

Where substantial obstacles are encountered objectives may be reconsidered. However this will need to be negotiated through the organisation and may affect funding contracts. As a result, it may not be possible to change objectives and other avenues may need to be explored.

Support and Supervision should be combined with six week, 3 month or six month reviews of the Staff Induction procedure in order to introduce new staff to the Appraisal Procedure. In this way staff within their first year should have some objectives for the year to achieve for the year end.

### Target setting for the coming year

Appraisals will normally occur between November and December, once final results for the previous year are confirmed, in order that clear objectives for each member of staff are established for the period.

The object of the first appraisal event is to establish clear objectives for each staff member to ensure that the business plan for the coming year is achieved.

For new staff approaching the six month review of the Staff Induction Procedure, the six month review and first appraisal event should be combined to bring new staff into the timetable of the Appraisal Procedure.

All objectives should be sufficiently SMART to facilitate judging performance at the end of the year

- S Specific** State exactly what needs to be done.
- M Measurable** How do you know it has been achieved? What measures are in place?
- A Achievable** Is the objective challenging enough but one which can be achieved?
- R Realistic** Be realistic about what the objective is given the resources/skills/time available.
- T Timetabled** Ensure that you have set a date by when the target will be met.

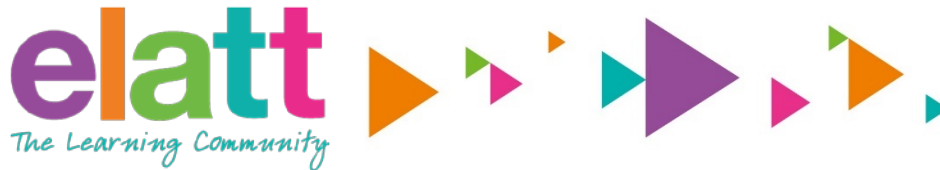
Many staff will have more than one objective under some Key Performance Indicators (KPIs). However, non-managerial staff should typically not have more than 5 objectives.

If there is clearly a large amount of work for staff to achieve under a specific KPI, consider setting an objective to achieve the targets set out in a sub strategy or work plan. However ensure that this is still SMART. All the detailed targets can then be established separately.

When determining appraisal objectives they must link to the organisations Business Plan Objectives.

During the first appraisal event any training and development needs for the staff member should be considered. These should be completed alongside the objectives. All training and development should be related to the achievement of specific objectives and targets set and therefore to the business plan. This will form a Professional Development Plan for each member of staff.

For detail of developing a Professional Development Plan and monitoring its achievement please see the Training and Development Policy and Procedure.



### **Review of the previous year**

The appraisal is designed to assess performance over the preceding period. It must be completed against objectives agreed between manager and staff member.

- These should be those targets and objectives set at previous year's objective setting appraisal event and subject to intervening review.
- However, if the member of staff has not been employed for a year or other circumstances have changed substantially objectives should have been developed during intervening support and supervision. Recent staff should have objectives set through the six month review of the Staff Induction Procedure.
- If a staff member is a very recent recruit, managers should devise and agree objectives drawn from the job description and/or person specification. In this case the second appraisal event should be combined with six week or three month reviews of the Staff Induction Procedure in order to bring new staff into the timetable of Appraisal Procedure.

Once a date has been set and objectives clarified if necessary, the manager will remind the staff of their objectives and ask them to consider their performance against those objectives. The manager will also consider performance against these objectives. In this way both staff member and manager will arrive at the appraisal meeting having considered performance and supporting reasons.

The above should happen at least two days prior to the agreed appraisal meeting to ensure both parties have time to consider their response. At this point it is not necessary for either party to formally record their responses. The formal record should be agreed at the appraisal meeting.

At the appraisal event the manager and the member of staff will work together to complete an agreed Appraisal and set objectives for the year ahead.

Only in cases of disagreement on performance level will the individual staff member and manager need to keep a formal copy of their own responses on file. Where any disagreement remains over judgements made in the appraisal, the manager will make reference to the staff position and explain the reasons for the final decision. Likewise, where both parties agree on performance level but disagree on grading the manager can note this for the record.

The manager's decision on grading and performance is final.

The agreed appraisal for each objective should draw lessons to apply to future planning. Areas of significant concern to the business should be fed back to the Chief Executive for development planning.

The summary of the appraisal should aim to establish key achievements of which staff and managers are proud and pleased, main problems and obstacles encountered, targets missed and lessons to be learned for future years. The manager will then need to make a final decision regarding the overall judgement of performance.



## APPENDIX 1

### MANAGER'S GUIDANCE

Clarify the objectives that staff have been working to over the last year:

- They should be the targets set in last year's appraisal process.
- However if no targets were set at that time they may be objectives or targets set in intervening 1:1s
- If the staff member has joined recently or has not had objectives set for another reason they may be drawn from job descriptions and/or person specs.

Check with staff that you have a common understanding that you have either:

- Previously agreed these objectives as the objectives for the year or
- Consider them to be a suitable measure of performance to date.

Set a date for the appraisal event.

Provide the staff member with a copy of the Appraisal Form from the previous year which outlines the objectives that were set together with an Appraisal Preparation Form.

In preparation for the appraisal, fill in the Appraisal Form Part B with objectives that were set for the previous year and consider your responses to each objective.

Complete the rest of the Appraisal Form with the staff member during their appraisal.

Staff must be encouraged to be self critical in appraisal. Managers must apply the process with honesty and fairness and establish an environment in which staff feel able to explain that targets were not met and why including examining their own behaviour and professional practice.

The appraisal event must produce an agreed appraisal determining the level of performance for each major aspect of the staff member's role, noting areas of success and areas for improvement.



## APPENDIX 2

### STAFF GUIDANCE

Ensure that you and your manager have a common understanding of the objectives that you have been working to over the last year:

- They should be the targets set in last year's appraisal process.
- However if no targets were set at that time they may be objectives or targets set in intervening 1:1s.
- If you have joined recently or you have not agreed objectives with your manager for another reason they may be drawn from job descriptions and/or person specs.

Agree a date for the appraisal event with your manager.

Your manager will supply you with a copy of the Appraisal Form with your objectives outlined from the previous year. This is for you to consider your performance before your appraisal. An Appraisal Preparation Form will also be provided to help you consider what has gone well or not during the year and what you would like to achieve in the year ahead.

During the appraisal itself a final Appraisal Form will be completed detailing agreed objectives for the year ahead and your Professional Development Plan.

Appraisal is the best method we have of identifying difficulties and identifying opportunities for staff to develop, achieve more and gain more satisfaction in future.

For appraisal to achieve this it is essential that all parties approach appraisal openly, honestly and constructively. We all need to be self critical in order to identify the best way for us to improve the way the organisation works in future for everyone's benefit.

Failing to hit targets probably means that performance is unsatisfactory but provided that good reasons can be found and strategies or improvement identified, there can still be a positive outcome for staff and ELATT.