PROCEDURES ON CAREER DEVELOPMENT AND STAFF APPRAISAL FOR CLERICAL, TECHNICAL AND RELATED STAFF

1. INTRODUCTION
These local procedures were drawn up by a working group of the appropriate Joint Negotiating Committees of the University and are derived from agreements reached in the Joint Technical and Clerical Staff Committee of the CVCP in 1992. The working group, which evolved into the CATSAD (Clerical and Technical Staff Appraisal and Development) Committee, ran a pilot scheme in seven representative departments during the 1993/94 session. Consideration of the feedback from the participants in this pilot scheme showed that it had been positively received. Various appropriate suggestions received in the feedback were incorporated into the definitive scheme. CATSAD will remain as a monitoring group which will also welcome and consider constructive comments and suggestions by which the scheme may be further improved. Any such correspondence should be sent to Human Resources, Staff Development.

An abbreviated outline of the "Appraisal Cycle" is shown in Appendix 1.

2. SCOPE OF THESE PROCEDURES
This scheme covers all Clerical, Technical and related staff, with only the following exceptions:-

2.1 Trainees (OTI/TTI)

2.2 Staff on fixed term contracts of two years or less. Where shorter term contracts effectively cover a continuous period of more than two years these staff are not excluded.

2.3 Staff who have given notice of their intention to retire within the next 12 months (unless they wish to be appraised).

3. OBJECTIVES
The career development and staff appraisal scheme aims to provide the opportunity to:-

3.1 Discuss with individual members of staff their performance in their jobs against agreed objectives.
3.2 Identify strengths which could be built on to improve opportunities for career development.

3.3 Identify aspects of performance which could be improved and agree methods for improvement.

3.4 Identify training and development needs and discuss ways of meeting these needs.

3.5 Identify opportunities for career progression.

4. TIMING
4.1 Appraisals will be carried out once every two years.

4.2 For staff new to their department, the first appraisal will be conducted within 18 months of appointment.

4.3 Interviews will not normally take place at times which coincide with other Staff Reviews.

5. TRAINING FOR APPRAISAL INTERVIEWS
5.1 All appraisers must attend a Personnel Department workshop on appraisal skills and the operation of the Scheme, so they are better equipped to conduct an appraisal interview.

5.2 All appraisees must have viewed the training video for appraisees.

6. HEAD OF DEPARTMENT
The Head of Department will:-

6.1 Appoint the appraiser who will normally be the person who, in their opinion, is best able to assess the work of the appraisee (but see 8.3).

6.2 Receive and consider the Agreed Note of Action (Personnel Form 77) when it has been completed.

6.3 After appropriate consultation, return this sheet to the appraiser having authorised action points, as appropriate.

7. APPRAISERS
7.1 Appraisers must undertake training and should not be asked to appraise too many staff. (Normally not more than 6 a year). (see 5)

7.2 The University’s Equal Opportunities policies should be considered when
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appraisers are selected.

7.4 In exceptional circumstances, where the appraisee objects and agreement as to the choice of an alternative appraiser cannot be reached, the matter should be referred to the monitoring committee CATSAD, whose decision will be final. (see 8.3)

7.5 Appraisers will meet with appraisees to view the training video for appraisees (see 5.2) and discuss the appraisal scheme before distributing the forms. (see 9)

7.6 Appraisers will distribute the appropriate forms (see 9) and agree the timing of the appraisal interview with each of their appraisees at least 14 days before the interview.

7.7 Appraisers will submit the Agreed Note of Action to the Head of Department.

7.8 After receipt of the completed Agreed Note of Action from the Head of Department the appraiser will send a copy back to the appraisee and keep it on file as an action plan.

8. APPRAISEES
8.1 Must have viewed the training video for appraisees before receiving the appraisal forms. (see 5.2)

8.2 Must have received from their appraiser the self-review form (see 9) at least 14 days before the appraisal interview and return it at least 7 days prior to this interview.

8.3 In exceptional circumstances where the appraisee objects to the choice of appraiser, this should be done by writing to their Head of Department. (see 7.4)

9. DOCUMENTATION
9.1 Self Review Form (Personnel Form 76)*

9.2 Agreed Note of Action (Personnel Form 77) *

9.3 Evaluation of the Effectiveness of the Appraisal Scheme (Personnel Form 90)

This form should be distributed by the appraiser at the interview and returned to Staff Development, Personnel Department.

* These are Revised forms which were introduced in November 2001, to simplify the paperwork for Appraisals across all categories of staff. The Revised forms were agreed by the University Unions' representatives.

10. INTERVIEW
The interview is primarily intended as an opportunity for the appraisee and the appraiser to engage, in confidence, in a joint creative review of recent, current and anticipated achievements and responsibilities. (See appendix 2).
This is an opportunity to:-

10.1 Review the appraisee’s job performance over the last two years and allow the appraisee to express his/her views.

10.2 Discuss how to improve and strengthen his/her abilities.

10.3 Discuss the appraisee’s future prospects and plans, and matters which he/she feel ought to be undertaken in the next two years.

11. **MONITORING THE ACTION PLAN (See Agreed Note of Action – Personnel Form 77)**

11.1 It is primarily the responsibility of the Head of Department (in consultation with the Appraiser) to ensure that the action plan is achieved.

11.2 The appraiser has the responsibility for monitoring the plan.

11.3 The appraisee may have certain responsibilities delegated to them within the action plan.

11.4 If the action plan is too extensive to be achieved within the next two years it should be phased over a longer period. This should be brought to the appraisee’s attention to avoid the creation of false expectations.

12. **MONITORING THE SCHEME**

The Clerical and Technical Staff Appraisal and Development Committee (CATSAD), joint committee of the appropriate Joint Negotiating Committees, will be responsible for overseeing the appraisal scheme. Appraisal and training policy will be developed by consultation within the CATSAD Committee. The Committee will report on its work (excluding any personal details) at least annually to the Staff Committee of the University.

13. **CONFIDENTIALITY**

The Confidentiality of the self-review form in the appraisal scheme is absolute to the appraiser and appraisee. Without the express permission of the appraisee, the agreed note of action (personnel Form 77) is the only form that should be available more widely and even this is limited to the appraisee’s line management.

Appendix 1

APPRAISAL CYCLE FOR CLERICAL, TECHNICAL AND RELATED STAFF
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<th>Head of Department</th>
<th>Appraiser</th>
<th>Appraisee</th>
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| Appoints Appraisers | ➢ Undertakes appraisal training  
➢ Holds briefing session about appraisal with appraisees; issues appraisal procedures, shows training video for appraisees, deals with queries  
➢ Agrees date for appraisal interview and issues self-review form (Form 76) to appraisee | |   |
| | | ➢ Completes and returns self-review form to appraiser |
| | ➢ Reads self-review form, and prepares for Appraisal Interview, considering staff development needs, career changes, etc | | ➢ Appraisal |

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- Writes up Note of Action (Form 77) and agrees it with Appraisee;
- Sends copy of it to Head of Department

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- Receives Agreed Note of Action for information, authorisation and action as appropriate

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- Receives copy of Agreed Note of Action signed by Head of Department. Approved Form 77 is filed

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- Progresses Action Plan with appraisee over agreed time-table

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- Progresses Action Plan over agreed time-table

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- Prepares for next appraisal (every 2 years)

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**Appendix 2**

**Ideas For Action**
Since the review results in an agreed note of action, you may find it useful to review options in advance. There are many ways of helping individuals to develop skills or find a renewed sense of commitment. Some of those suggested here may have resource implications; many do not.

- a reduction, increase or change in workload
- taking on more responsibility, or a fresh challenge
- changing the emphasis of the job to suit particular skills
- taking on a special short term project responsibility
- consulting a departmental or faculty colleague
- getting in touch with an outside agency, or a body within the University (Personnel, the Computing Service, the TLA centre) for specialist advice
- seeking specialist counselling or guidance
- "shadowing" a more experienced colleague
- being coached by a colleague on procedures, techniques, documentation
- visiting another department (internally or elsewhere) to learn more about procedures, a fresh initiative, how a problem has been rethought
- taking part in a short course or conference
- mounting a seminar or workshop to meet your own and colleagues’ needs
- improving communication, e.g. by initiating meetings, proposing a remit for a working group, devising a better means of disseminating
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information

• joining a working party, committee or task force

• arranging a follow-up meeting to clarify career prospects and ways of improving these

• seeking more resources, internally or externally

• surveying possible sources of new funding

• costing and bidding for new equipment

• carrying out a pilot study or a small pump-priming project

• undertaking a programme of reading, with appropriate guidance

• arranging a health check

• asking for help in coping with a difficult situation (e.g. in dealing with subordinates, liaising with an overbearing colleague)

• seeking a secondment to other duties