



Procedure 6.4 Performance Review / Appraisal

1 Introduction to performance review/appraisal

Performance review/appraisal allows employees and their managers to review what has been happening over the last twelve months. Information from the discussions will be recorded and agreed by both parties.

The aims of performance review are to:

- encourage employees to review recent performance and development
- acknowledge the aspects of the work that are found difficult or irksome
- recognise achievements
- review and confirm agreed goals and standards to be worked on in the future
- identify and specific measures to improve current performance and identify future training needs
- discuss career aspirations or possible development moves.

2 Aims of the performance review/appraisal scheme

The Academy regards its annual performance review/appraisal scheme as a key aspect of quality improvement and staff development. The scheme is designed to assist members of staff to develop their personal and professional skills and thereby improve the quality of the educational and residential services enjoyed by students in the Academy;

Performance review procedures for employees are designed to:

- relate each employee`s work responsibilities to their job description and to the main aims and objectives of their department and the Academy
- identify each employee's strengths and achievements and any areas which may need strengthening
- help employees to improve their performance and in this way to assist them to develop their careers either within the Academy or elsewhere and experience enhanced job satisfaction
- identify ways in which Academy operations might be changed in order to secure improvements in the performance of employees by training and in modes of management



- assess each individual employee's development needs and, where appropriate, to agree a programme of training
- provide opportunities for managers to feed back information to each employee
- improve the efficiency of the Academy

3 Briefing and training for performance review/appraisal

The Academy recognises that the performance review scheme will succeed when:

- employees are confident about the advantages and benefits which accrue from the scheme
- they understand the scheme's aims and the procedures which are followed during the performance review process
- they are familiar with the ways of deriving maximum benefit from the scheme.

To ensure that members of staff are supported to perform their role to the best of their ability, each line manager has a responsibility to ensure that every employee:

- understands and participates in the performance review process
- has an opportunity to meet and discuss their performance on a one-to-one basis

It is expected that line managers will offer each employee that they manage the opportunity to meet regularly to review their performance and offer support. This should enable teams and individuals to continually improve their practice thus contributing to the overall success of the service.

4 Managing the scheme

The CEO / Principal has overall responsibility for the performance review scheme. It will be the task of the CEO / Principal to monitor the way the process is operating and to note any particular difficulties.

4.1 Reviewers/Appraisers

The reviewer will normally be the immediate line manager of the employee being reviewed. However, care will be taken to ensure that the employee's preferences vis-à-vis his /her reviewers are, as far as possible, taken into account.

It is part of every manager's duty to conduct performance review. Where there are occasions where it would not be appropriate for the line manager to conduct a review for whatever circumstances, consideration will be given to nominating another manager to take on this role.

4.2 The CEO / Principal



The CEO / Principal will be reviewed under the same principles and according to the same procedures that apply to other staff. In recognition of the wide range of responsibilities assumed by the CEO / Principal she will normally be appraised by more than one reviewer, which may be the Chair of the Board of Governance and the Managing Director of Simply Alliance Limited.

5 Performance review arrangements

Each review will be based upon:

- the individual's current agreed job description,
- the individual's last review statement, where that statement has currency
- the Academy's Strategic Plan

5.1 The elements of performance review

The performance review of employees will be informed by:

- a self-assessment statement
- an observation by the reviewer of the employee's work activities (where appropriate),
- any other relevant and agreed information,
- a formal performance review meeting.

5.2 Self-assessment

The self-assessment statement is designed to assist the employee to review his/her work, to identify his/her successes and development needs. It will also encourage all members of staff within the Academy to develop habits of self-reflection about their professional duties.

The self-assessment exercise is designed to ensure that performance review deals with an agenda which is in part set by the employee him/herself.

It is at the discretion of the employee whether the self-assessment statement is used as a basis for discussion in the review meeting; this is obviously desirable.

5.3 Observation (applicable for teaching staff only)

The observation will focus on the main component(s) of the employee's duties.

The observation will be necessarily informed by an understanding of the employee's objectives in organising the activities that are being observed. In the case of teaching activities this understanding will be based on an examination and discussion of the employee's seminar or other teaching plans. The employee may wish the observation to focus on particular aspects of his/her work and this will be negotiable, although in the case of the teaching staff, classroom activities must form part of the performance review process.

The reviewer will provide a report on her/his observations and this will be made available to the employee.



[Teaching observation is covered in detail in Procedure 6.10]

6 Prior to the performance review/appraisal meeting

6.1 Objective-setting, performance review and personal development plans

The performance review, objectives setting, and personal development planning process has been designed to improve individual performance leading to higher standards of service and the efficient use of resources by agreeing specific goals.

Performance review draws attention to the individual's responsibilities in providing a service for the Academy by establishing a set of clear expectations and standards within their role. It is also the formal opportunity to identify development needs that may be required to ensure that objectives can be met and produce a personal development plan (PDP) based on these.

It provides an opportunity for the line manager to review with their staff the objectives set at the last review, whether objectives were met, and any help needed to attain these objectives.

There may be circumstances where an employee may fail to meet the required standards laid down in their job description. A clear distinction should be made between performance which does not meet the required standard due to possible misconduct and that which is due to lack of ability, skill, knowledge or experience.

Possible misconduct will normally involve some measure of personal responsibility in that the employee is capable of doing his or her job, but the level of performance is inadequate. Issues of this nature should be managed through the usual stages of the Disciplinary procedure (Procedure 6.5 *Discipline at work*).

6.2 Regular individual meetings

Regular individual meetings (usually called one to one informal meetings) are an important element of staff development. For any employee to perform well within their role they need to feel supported and guided by their line manager.

The regular one-to-one informal meeting provides a period of time when the employee can discuss with their line manager any issues relating to their work. For example, this could be to:

- discuss areas of responsibility
- update each other on progress with specific projects
- receive on the job coaching on specific issues relating to the post
- discuss any areas of concern that may have arisen from either the employee or manager
- discuss professional problems and possible solutions



- plan and agree any leave

It is an informal discussion process that is designed to give the employee support and guidance to fulfil their role. Each line manager should explain and plan the process for regular individual meetings with each new member of staff during their induction period.

6.3 Frequency of regular individual meetings

Each line manager has the discretion to increase this and meet with their team members as frequently as they may see fit to address the needs of the service and the employees.

The line manager and employee are encouraged to take notes of their meetings detailing:

- date and time of the meeting
- topics discussed
- any action points that may need to be followed up, with clear timescales for completion
- agreed time and date of next meeting

These notes are for informal reference for the employee and line manager to refer to at a later date should they wish to do so.

6.4 Objective setting, review and personal development planning

This has been designed to:

- improve individual performance leading to higher standards of service and the efficient use of resources by agreeing specific goals
- draw attention to individual responsibility for the service provided by establishing expectations and standards
- identify the current and future learning and development needs of individual members of staff.

This is achieved by agreeing individual and team objectives based on the business plan, agreeing the development to support the employee to achieve the objectives set and an opportunity for the employee and line manager to review the employee's progress together.

The Academy sets out its objectives for the year ahead. Line managers will discuss with their teams any departmental or team objectives and explain the link to the corporate objectives. Then each member of staff should, with his/her manager, look objectively at the job and decide what they need to achieve, therefore agreeing and setting individual



objectives for the following year. This should take place towards the end of the academic year.

A new member of staff should, with his/her line manager, look objectively at the job and decide what he/she needs to achieve. This meeting should take place by the end of their three month induction period. Objectives for the following year should be agreed and set. This will include any departmental or team objectives previously highlighted by the line manager. Also at this time the new member of staff should seek advice and help with any problems concerning the job.

Job descriptions should be reviewed as part of this process to reflect any changes to the role required in order to fulfill future objectives. The job description should be discussed and any changes agreed with the post holder.

A performance review timetable for all staff will be agreed at the beginning of each calendar year.

7 The performance review meeting

The meeting is designed to:

- acknowledge the employee's strengths and to identify examples of good practice
- review the employee's work in the light of the information which has been gathered (job description, self-assessment statement, observations, other agreed sources of information)
- review the employee's job description in the light of his/her contribution to the organisation and mission of the Academy
- consider the extent to which the Academy supports or imposes limitations on the contribution that the employee makes to the Academy's mission
- discuss and agree ways in which the employee's contribution may be further developed
- discuss and agree targets for future development
- discuss and agree ways in which the Academy can best support staff development in ways which benefit both the employee and the Academy
- outline the purpose and nature of the performance review statement and indicate the issues which will be included in it
- discuss and agree a procedure for follow-up and set a date for the next review meeting

To ensure that the employee receives maximum benefit from the annual performance review meeting, the Head of Department should discuss the review process with their employees and send out to the staff the Personal Development Review (PDR) form at least 2 weeks prior to the performance review meeting taking place. The form will help the employee structure their thoughts before attending the meeting.



The line manager should record notes of the annual review meeting, summarising the main points of the discussion and should not record anything that was not discussed. Additionally, no new area of concern should be discussed at review meeting but should be raised in an employee's regular individual meeting with the line manager.

The line manager should give the employee a copy of the completed Annual Performance Review Meeting form within 2 weeks of the annual meeting taking place. The employee then has an opportunity to comment on the notes of the meeting and return it to the line manager within 2 weeks of receipt.

8 The performance review statement

The performance review statement is a summary of the issues discussed and the conclusions reached in the review meeting. It should be produced within 10 working days of the interview, will be returned by a mutually agreed date by the employee to the reviewer, duly signed, or indicating that the employee does not agree. The statement will:

- summarise the review meeting
- identify the agreed targets for the employee's professional development
- identify how and by whom issues raised in the statement are to be dealt with
- provide the employee with an opportunity to record his/her comments which wherever possible should be integrated within the statement
- require the signature of both parties to signal the fact that they both approve the statement,

9 Use of the performance review statement

Copies of the statement will be issued to the employee, the reviewer, and the CEO / Principal. A copy will also be made available to the directors, should they request it.

The CEO / Principal will, on the basis of the statements received, produce an annual report for the directors and on the operation of the performance review scheme and on the staff development implications. It will have consequences for the Academy's annual staff development programme and will be one of the primary sources of information employed by the manager charged with the responsibility for planning and coordinating staff development.

9.1 Confidentiality of statements

Performance review statements will be made available only to those to whom they relate. No further copies of the statements will be issued.

Furthermore, in the interests of confidentiality:

- all documents produced during the review process, other than the performance review statement, will be destroyed



- the statement will not be used in any Academy discussions (concerning the employee in question) which relate to pay, discipline or grievance
- after consultation with the employee, the statement may be used by the CEO / Principal to advise the Board of Governance about the employee's promotion or career development applications
- the employee may use the statement (for her/his professional activities) only after the approval of the CEO / Principal has been obtained.

10 Personal development plans

The employee's line manager and the employee should identify any learning needs together. The development required should support the employee to achieve the objectives and also any personal development the staff may wish to pursue, as long as it is relevant to the service. This is called a Personal Development Plan (PDP). The PDP should detail when, where and how the employee will receive/obtain the development. The line manager and the employee should also agree how the learning will be evaluated. It could include informal training (eg. on the job coaching, visits and shadowing opportunities, projects, research and reading time) as well as formal courses.

A copy of the personal development plan must be kept by the line manager and the employee. For monitoring and reporting purposes, Up-to-date records must be kept of all staff who have completed a PDP.

11 Complaints

The reviewed employee can complain if:

- she/he is unable to agree the name of an acceptable reviewer with the CEO / Principal or Managing Director
- she/he believes that the Academy's performance review procedure is not being adhered to in an appropriate manner
- she/he is unable to agree the review statement.