

THE UNIVERSITY OF SUSSEX

(f) Appraisal

Outline of Procedures

1. These procedures apply to all members of faculty (the appraisee), with the exception of members of the research and analogous faculty with an appointment or successive appointments totalling less than one year; Deans or heads of units may at their discretion include members of the research and analogous faculty with appointments of less than one year.
2. The appraisal procedures will be compatible with the development of equal opportunity policies and with the maintenance of academic freedom.
3. The principal purpose of the career development and appraisal system is to promote staff development. Other purposes of the system are to help individual members to develop their careers within the University, to identify changes in the organisation or operation of the unit or the University which would enable individuals to improve their performance, to identify and develop potential for promotion and to improve the efficiency with which the unit or the University is managed.
4. Responsibility for the conduct of appraisal of members of the teaching faculty and the research and analogous faculty rests with Deans as members of the teaching faculty. Other members of the teaching faculty designated by Deans after consultation with the permanent members of the teaching faculty in the School, and responsible to the Dean of the member's School of primary allegiance, will be encouraged also to become appraisers. (The term 'Dean' throughout includes the Director of the USIE and the Director of the SPRU.) Deans and Pro-Vice-Chancellors will be appraised by appraisers appointed by and responsible to the Vice-Chancellor. In exceptional circumstances, an appraisee may request that an alternative appraiser should be chosen. Normally one appraiser will be designated for an appraisee, but in special circumstances, at the suggestion of either the appraisee or the Dean and with the agreement of both, more than one appraiser may be designated. In such circumstances, one of the appraisers will exercise the responsibilities of an appraiser listed below.
5. Appraisal of members of the administrative faculty, computer faculty library faculty and other related faculty will be undertaken by appraisers designated by the head of unit after consultation with senior colleagues. Heads of units will be appraised by the Vice-Chancellor.
6. There will be a meeting between the appraisee and the appraiser at least every two years, the period to be determined at the Dean's or head of unit's discretion, except where an annual meeting is determined by other procedures eg for probationary lecturers. The appraisee may request an annual meeting.
7. The following factual information should be available for the appraisal interview:
 - (i) The appraisee should submit on a standard form a factual report in respect of the period since the previous appraisal. In the case of members of the teaching faculty this should list the teaching undertaken, publications accepted or other research in progress, offices undertaken and other activities and also providing course preparation material in consultation with the

appraiser. In the case of members of the research and analogous faculty this should give details of his or her contribution to the progress of current research projects or project on which he or she is engaged, publications accepted and additional relevant activities, including teaching where undertaken, administration of research, development and fund raising for new projects since the previous appraisal

- (ii) The appraiser will ensure that material bearing upon the effectiveness of the appraisee's performance is available. Any such material available to the appraiser should be made known to the appraisee, who may read any such material on request.
8. The appraisal will be retrospective, looking back on performance since the previous appraisal and prospective, with agreement on a forward plan of action to be taken.
9. The forward plan is agreement on action to be taken to build on strengths or remedy weaknesses and the period over which the action will be taken.
10. In the case of members of the teaching faculty, categories of performance to be appraised include: Teaching; Research; Administration; Other Related Activities.
11. Members will be encouraged to appraise their own performance. The discussions at the appraisal meeting should be frank and constructive. While the appraisee is encouraged to appraise his or her own performance, the comments recorded by the appraiser will be the appraiser's own views. The appraiser will record comments on the appraisee's performance on a standard form. The appraisee will be able to read the comments, and record any dissenting views on the form.
12. The appraisal forms are confidential, and copies will be kept only by the appraisee, the appraiser and the Dean or head of unit, except that a copy shall also be forwarded on request to the Vice-Chancellor, to enable the Vice-Chancellor to discharge his obligations to ensure that appraisals are being carried out satisfactorily and that common standards of judgement are being applied. The Vice-Chancellor may delegate this consideration, but otherwise will maintain the confidentiality of the records. The Dean or head of unit may draw the Vice-Chancellor's attention to cases of disagreement between the appraisee and the appraiser. The Dean or head of unit may also involve other officers as appropriate in discussion of follow-up action.
13. It will be the responsibility of the Dean to read the appraisal reports of all members of teaching faculty and research and analogous faculty of the School and to initiate any follow-up action as seems necessary. In particular the Dean will discuss any individual or general staff development needs with the appropriate University officer responsible for career development and training.
14. The career development and appraisal system is separate from the annual review, but they nevertheless relate to each other in several ways. Unsuccessful candidates for promotion may seek advice at the appraisal meeting on how to improve their performance. The procedure for making appraisal records available to promotion committees will be for the appraisee and the appraiser to produce an agreed summary of them.
15. The training and advice on conducting the interview to be given to appraisers will be provided through the Staff Development Unit.