

**Executive Summary of Business
for Performance Committee**



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| Title | Human Resources Data |
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| Type | Report |
| Date | 2 November 2012 |
| Context | The University's new appraisal system for academic staff was developed last year and is now operational. A timeline has been drawn up for conducting appraisals and, on the recommendation of the internal auditors, HR liaised with each school mid-way through the process to check that the conduct of appraisals was on track. New appraisal training has been provided. The new process will inform staff development issues, career progression and discretionary pay awards. |
| Summary | The Performance Committee had asked to be updated on the implementation of the new appraisal system for academic staff, following an earlier paper (May 2012) on HR initiatives, including in relation to Performance Management and the development of a new academic appraisal process. This paper reports on the current status of status of implementation of the new academic appraisal scheme. |
| Recommendation | The Performance Committee is asked to NOTE this report. |

1. Appraisal

The University's new appraisal system for academic staff was developed in 2011/12 and is now operational. Each school has a timeline for conducting appraisals and, on the recommendation of the internal auditors, HR liaised with each school mid-way through the process to check that the conduct of appraisals was on track. New appraisal training has been provided. The new appraisal system will inform staff development issues, career progression and discretionary pay awards.

The appraisal scheme operates on an annual basis, with every member of staff having at least one formal review meeting during a 12-month period that runs from August to July. This meeting should be considered as the documented stage of an on-going process and other, informal meetings/on-going professional dialogue also take place in order to provide a more frequent review of progress, in accordance with specific school/departmental requirements.

Appraisal meetings should normally begin in May, and all staff should normally have had an appraisal by the end of July. In practice, Schools may wish to have some flexibility within this annual timetable so that appraisals can be conducted at times that are least disruptive to the core teaching and research work of appraisees and appraisers alike.

The information set out below is intended to advise the Performance Committee on the current status of implementation of the new academic appraisal scheme.

a. **BMEc**

92% of Teaching Faculty have been appraised. The remaining 8% were either on long term absence or were new staff.

82% of Research Faculty have been appraised. The remaining 18% were new staff.

85% of Tutorial Fellows have been appraised. The remaining 15% were either new staff or have left the University.

b. **BSMS - non-clinical academics. (Clinical academics have a separate appraisal scheme conducted in conjunction with the NHS¹.)**

65% of Teaching Faculty and Tutorial Fellows have been appraised. The remaining 35% of staff in these groups did not receive appraisals because they were either new, on maternity leave or left during the year.

However, most Research Faculty (94%) were not appraised and HR and the relevant PVC will work with the Dean to ensure that appraisals take place with this group of staff.

c. **Engineering and Informatics**

62% of Teaching Faculty have been appraised. The remaining 38% will be appraised by the new Head of School (who started on 1.10.12) in the very near future.

No Research Faculty have been appraised and this is being taken up with the new Head of School.

100% of Tutorial Fellows have been appraised.

d. **English**

100% of Teaching Faculty have been appraised.

The school has no Research Faculty and all Tutorial Fellows are on contracts of less than a year, so fall outside of the scheme.

¹ The University is currently implementing a new national appraisal system for clinical academics.)

- e. **ESW**
97% of Teaching Faculty and 88% of Tutorial Fellows have been appraised. Appraisals for the remaining staff (2 people) have yet to take place. The school has no Research Faculty.
- f. **Global Studies**
96% of Teaching Faculty have been appraised. In respect of the remaining 4% (2 members of staff), 1 person is retiring and 1 is due to be appraised shortly. 60% of Research Faculty have been appraised. In respect of the remaining 40% (4 members of staff) 2 were away on long-term field work; no information was given regarding the other 2 members of staff and the Head of School is following this up.
- g. **HAHP**
85% of Teaching Faculty have been appraised. In respect of the remaining 15% (6 members of staff) 5 were on long term leave (e.g. secondment, research leave, sick leave) and 1 was leaving the University. No Tutorial Fellows (4) have been appraised and HR is following this up. The School has no Research Faculty.
- h. **Life Sciences**
98% of Teaching Faculty and 100% of Tutorial Fellows have been appraised. 77% of Research Faculty viewed by the school to be part of the scheme have received appraisals and the school is pursuing the remaining 23%. However, a further 55 members of Research Faculty, in the GDSC, were given the option of an alternative (mentoring) scheme and chose this instead. This is not an approved alternative and the matter has been referred to the PVC and Head of School.
- i. **LPS**
95% of Teaching Faculty have been appraised. The residual 5% (2 members of staff) were on leave, but it is anticipated that these appraisals will have been completed by the date this document is submitted. 100% of Research Faculty and Tutorial Fellows have been appraised.
- j. **MFM**
100% of Teaching Faculty, Research Faculty and Tutorial Fellows have been appraised.
- k. **MPS**
79% of Teaching Faculty have been appraised. In respect of the residual 21% (9 members of staff), 3 were not appraised as they were new staff, 1 was on sabbatical and 5 did not submit forms, despite being repeatedly prompted by the Acting of School. HR will take this up with the new Head of School for next year. The School has no Research Faculty.
- l. **Psychology**
79% of Teaching Faculty and 71% of Research Faculty have been appraised. Those staff who did not receive an appraisal did not do so because of maternity leave, being new or leaving the University.
- m. **SCLS**
100% of Teaching Faculty have been appraised. 95% of Tutorial Fellows have been appraised. The remaining 5% (1 member of staff) has not received an appraisal due to health issues.

In summary, substantial progress has been made in relation to appraising academic staff (historically, in some academic areas, appraisals were not carried out at all) although further action is required to refine and fully embed the system, particularly in respect of Tutorial Fellows and Research Faculty.

2. Performance review in general

Regular meetings now take place between the relevant PVC, Heads of School and HR to review all academic performance, e.g. in relation to career progression, retention and under-performance so that appropriate action can be taken.

As previously advised to the Performance Committee, the decision to instigate discussions with an employee who is considered to be under-performing rests with the line manager. A Capability Procedure (with informal and formal stages), guidance, training and support for line managers are all in place. Two members of staff are currently in formal capability proceedings. A third person has come out of formal capability measures due to improved performance as a result of the process being applied.

The Performance Committee is invited to NOTE this paper.

Jane Summerville
Director of Human Resources

2 November 2012