

Sussex Staff Appraisal Scheme

Guidelines for Professional Services Staff



Contents

- Introduction..... 1**
- Purpose of the appraisal..... 1**
- Main focus of the appraisal 1**
- Who to appraise 2**
- The appraisal process 2**
- Documents to support your appraisal 2**
- Preparing for the appraisal meeting 2**
- Completing the appraisal form 3**
- Smart objectives 6**
- Appendix 9**

Introduction

This document provides appraisees and appraisers with guidance on how to complete the new appraisal form.

Purpose of the appraisal

The organisational psychologist Peter Honey argues that people at work have three fundamental rights: to understand what is expected of them, to hear feedback on how well they are doing and to be given information on anything that they need to do differently or better. Most of us would say that this is what we want for ourselves. Without these three foundational activities, we risk breaching the unspoken or psychological contract we have with our staff and we reduce the opportunity to make a meaningful connection between our people’s endeavour and the achievement of strategic goals.

Appraisal enables leaders and managers, to support this relationship of trust, promote employee engagement and align all our work to the institution’s goals. The additional activity that occurs where appraisal is done well, is the hearing of feedback, so that staff are motivated by a sense of being valued contributors.

Main focus of the appraisal

The main purpose of the appraisal is to focus on an individual’s performance and how they are contributing to the Sussex 2025 framework and adopted values. Continuous professional development (CPD) is also key and enables individuals to review and plan their own development.

An effective appraisal has these key components:

1. A look back over the preceding review period by both the appraisee and appraiser
2. A look forward across the coming review period
3. The giving and receiving of constructive feedback
4. The agreement of objectives (work and personal)
5. A discussion on development needs and the agreement of a personal development plan (PDP), that will be a natural outcome of objective setting
6. The opportunity to discuss career aspirations and to agree relevant support for career development
7. A mechanism for keeping outcomes live (regular one to ones)

Who to appraise

All staff on permanent and fixed term contracts should be appraised and typically the appraiser will be the appraisee's line manager.

The appraisal process

The Divisional objectives will be agreed annually in the spring term and relevant Directors / HOPs will cascade agreed objectives to line managers and teams ahead of the appraisal process.

The appraisal meeting should take place in the summer term and it is expected that all appraisals should be completed by 1st September. It is noted that some areas will fall outside of these timescales, and this will have been agreed beforehand.

Documents to support your appraisal

When preparing for the appraisal meeting (whether you are the appraisee or appraiser), you are advised to review the following documents:

- [University of Sussex strategic framework](#)
- [University of Sussex Competency framework](#)
- [Continuous Professional Development \(CPD\) at Sussex guide](#)
- Appraisal flow chart for Professional Services (see appendix)

Preparing for the appraisal meeting

Before the Review

A suitable time and location should be agreed at least two weeks before the review meeting ensuring that both the appraisee and appraiser are both familiar with what needs to be done before, during and after the meeting.

The appraisee and appraiser should make notes before the meeting but not have completed the entire form - this should only be done during or at the end of the meeting once discussion and agreement has taken place.

The appraiser may add/change the topics for discussion. The form must be sent back to the appraisee at least three days before the meeting (taking into account of any part time working patterns). This is now the agreed agenda for discussion.

Completing the appraisal form

1. Review of objectives 2019/2020 (self-assessment by the reviewee)



Professional Services Staff Appraisal Form 2019-2020

Appraisee Name:	Appraisee Job Title:	Date of meeting:
Appraiser Name:	Appraiser Job title:	Period under review:

Before the meeting - preparation

1. Review of objectives 2019/2020 (self-assessment by the reviewee)

My objectives	Outcome/Achievement (If your department uses a rating system, please self-assess here using that rating or competency system. You may wish to report whether you have fully met, mostly met, partially met or been unable to achieve an objective).
1.	
2.	
3.	
4.	
5.	
Which Sussex Values have you displayed and how?	

Page | 1

1. The **appraisee** writes their agreed objectives from the last 12 months here.

3. The **appraisee** uses this space to highlight which Sussex Values (Kindness, Integrity, Inclusion, Collaboration or Courage) they have displayed throughout the year and evidence how they have demonstrated those values.

2. The **appraisee** records the outcome/achievements here. What progress has been made and steps taken towards achieving the objectives? If your department is using a rating system, self-assess here using that rating or competency system

2. Reflection on the period since you had your last review


Professional Services Staff Appraisal Form 2019-2020

2. Reflection on the period since you had your last review

Appraisee Summary
What went well? What contributed to these successes?
What didn't go so well? What got in the way? What could be done differently or better?
Feedback you have received <i>(from team members/colleagues/other staff across the University and/or partners)</i>
What do you see as your key areas of work over the next review period and what support will you need?
Any other comments
Appraiser's comments/topics for discussion

Page | 2

1. Here the **appraisee** records what has gone well and what hasn't gone so well during the year. There is space to capture any feedback they have received from colleagues or partners during the year, and any key areas of work over the next review period and support needed, before recording any comments. (There is no formal 360 process for obtaining feedback)

2. This is space for the **appraiser** to write their comments or any topics they have for discussion during the review meeting

3. Objectives for the forthcoming year (completed by the appraisee)



Professional Services Staff Appraisal Form 2019-2020

After the meeting – agreed record of the discussion

3. Objectives for the forthcoming year (completed by the appraisee)

Personal & Organisational Objectives aligned to strategic priorities:	Show links to any relevant strategic and operational priority	What will you do/deliver to achieve success? (Specific, Measurable, Achievable, Realistic, Timed)	Timescale	Review Date
1.				
2.				
3.				
4.				
5.				

4. Agree a timescale for the objective to be completed. (Objectives can be achieved at any point throughout the appraisal cycle and not just at the end of the year).

5. Agree a date to review the objective.

1. The **appraisee** and **appraiser** should agree individual and any team objectives which are drawn down from wider departmental objectives.

The appraiser may want to ask the appraisee to think about their own objectives, asking them to come up with some ideas to bring to the appraisal meeting.

2. Objectives are linked to one of the four main pillars of the Sussex 2025 framework – [Learn to Transform](#), [Research with Impact](#), [Engage for Change](#) or [Build on Strengths](#).

Please note the objectives do not have to be from each stream; they may all be under one heading e.g. Build on Strengths.

3. The **appraisee** should bullet point specific steps they will take or tasks they will do to ensure the success of the objective.

Smart objectives

Objectives link strategy, priorities and targets and indicate clear measures of success. Because they outline what each individual needs to deliver over a certain period, they also strengthen accountability. When setting objectives focus on identifying a set of appropriate challenges supported by a development plan: between three and five is a good number of objectives over a year. Remember that objectives can change in a review period if requirements or aims change and the document should be update accordingly.

Agreeing Objectives

Objectives should be agreed between individuals and managers and not simply set by managers. Objectives should be challenging and achievable.

Preparing

- Think about the year ahead -what contribution do you hope to make to The University of Sussex in support of the department's/team's priorities and targets.
- Phrase your targets so that they demonstrate outcomes.
- Consider the activities you need to carry out to achieve these outcomes.
- Set a time frame for your achievements.
- Identify potential obstacles and ways to overcome them in advance.
- Think about whether your skills are sufficient or whether you need development.

Drafting

Objectives are simply statements of what you want to achieve. Objectives focus on the desired result or achievement, rather than the process, and avoid the use of unnecessary words or phrases like: 'ensure that', or 'as far as possible'. Your role, accountabilities and team priorities are all valuable points of reference.

When setting objectives, it is important to make sure they are **SMART**:

Specific	Clear and unambiguous (is it exactly what needs going?) why, what, where, when, why?
Measurable	Quantify and quality where possible. How will I know when I have reached my goal?
Achievable & Agreed	Must be agreed (by both appraisee and appraiser) and achievable (allow for workloads etc.)
Realistic & Relevant	Must be able to happen, must have resources, support, knowledge and must provide results. They should be linked to team and organisational goals.
Timely	Scaled with review dates and deadlines (a realistic timeframe adds focus)

4. Personal development plan (including development to support career planning)

The PDP is a working document that is reviewed at regular intervals and captures development needs for the forthcoming year.


Professional Services Staff Appraisal Form 2019-2020

4. Personal Development Plan (include development to support career planning)

What do I need to learn?	Priority	What will I actually do in order to learn (remember to think about self-directed learning, including online, work shadowing, a stretching objective, reading, being mentored/mentoring etc. as well as courses)	What will success look like? How will I demonstrate the change achieved through learning?	Sussex Value aligned to	Who will organise?	Target date for review
				<i>(for example Integrity)</i>		

Page 4

1. The **appraisee** lists what they want to be able to do better. It must be linked to a UoS behaviour/skill or role profile.

2. Is the priority high, medium or low?

3. How will I achieve my development objective? What is the best method? It may not be attending a training course. Development suggestions can include – job shadowing, mentoring, networking, reading/writing blogs, conferences, online research, giving a presentation.

5. Which of the Sussex values does this align to? (Kindness, Integrity, Inclusion, Collaboration, and Courage).

7. What is the timescale for achieving this?

4. The **appraisee** should consider what success will look like. What the review and measure of improvement looks like and how they will put into practice what they have learnt.

6. Who will be responsible for arranging any development activities?

5. Appraisers comments


Professional Services Staff Appraisal Form 2019-2020

5. Appraiser's comments

Please summarise your feedback here as an appraiser (e.g. praise, thanks, emphasis on specific priorities for the coming year, your feedback on achievement, your overall summary of the contribution made in this review period)

Here the **appraiser** summarises their feedback and includes an overall summary of the contribution made in the review period.

6. Appraisal sign off

6. Appraisal signoff

Annual Appraisal Agreement Signatures		
Signed Appraisee:	Date:	The Appraisee is signing to acknowledge that this is the result of the meeting, and that they have had the opportunity to express their view
Signed Appraiser:	Date:	The Appraiser is signing to confirm that this document accurately reflects the outcome of the meeting with the Appraisee

- A copy of this form should be kept by the Appraisee and Appraiser for future reference and taken into regular one to one meetings. Any changes in objectives that are agreed during the year should be recorded on this form, to keep it live.
- You should refer to your Unit's Appraisal Plan to know who must receive a copy of this completed agreement

Here the appraisee signs to acknowledge the result of the meeting, and that they have had their opportunity to express their view and the appraiser is signing to confirm that the document accurately reflects the outcome of the meeting with the appraisee.

The appraisee shouldn't feel obliged to agree and sign the annual appraisal agreement at the appraisal meeting. It is recommended that at least one week is given to reflect on a draft version of the agreement, however it should be completed/signed within two weeks of the appraisal meeting.

Appendix

Appraisal for Professional Services staff – step by step

Before the meeting	Date agreed at least two weeks before
	Appraisee completes Before the Meeting section of the form and sends to Appraiser at least a week before the meeting
	Appraiser may add/change the topics for discussion and sends the form back to Appraisee at least three days before the meeting (taking account of part time staff working patterns). This is now the agreed agenda for discussion (no surprises).
Meeting happens	Both parties make notes of the discussion and agree objectives and PDP
After the meeting	Appraisee writes up their agreed objectives and PDP and sends to Appraiser within 2 weeks of meeting
	Appraiser may add/change objectives/PDP and adds their comments (feedback, thanks, emphasis on objectives). Appraiser sends form back to Appraisee
	Appraiser and Appraisee both agree and sign meeting outcomes
	Where Appraiser and Appraisee cannot agree outcomes, the Appraiser's Appraiser is asked to support and resolve
	Form is stored as agreed within the department – as a minimum, both Appraiser and Appraisee have a copy
	Agreed objectives and PDP are brought to every subsequent one to one for progress report/amendment