Appraisal Training / Refresh

(For Appraisers and Appraisees)

June 2022
Facilitated by: The Human Resources Directorate and members of the wider university leadership team

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The purpose of today's session

- To reflect on why appraisals are important.
- To ensure the university delivers inclusive and equitable review of past performance.
- To align objectives and goals that support the priorities outlined in the 2030 Strategy.
- To communicate the benefits of the appraisal system via Horizon.
- Practical support.
- Feel free to ask questions.

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Why appraisals are important

- Dedicated and meaningful time for individual colleagues and their managers to reflect and celebrate their achievements over the last 12 months (now more than ever/ post pandemic).

- An opportunity to reflect on what stops individuals from achieving their goals and consider alternatives moving forwards.

- It not just about <u>what</u> individuals and teams have achieved, but also <u>how</u> they achieved it by living our values every day.

- A time to focus on the future: Setting objectives (goals) and expectations within the context of the university's overall strategy. (Q - How does my work contribute to the university's success?).

- Dedicated time to talk about career and personal development.

- To ensure that the university is being inclusive and equitable in how recognises performance (consistency and bias).

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Quick quiz about our strategy:

(Please use the chat function)

1. What is our vision?

To deliver Education without Boundaries

2. What is our mission?

Top 30 / best modern university by 2030

3. What are our principles?

Creating opportunities for individuals and society, Building partnerships, Delivering impact

4. What are our values?

Inclusive, Collaborative and Impactful

Strategy Overview

Mission	To be the best modern university in the UK by 2030 (A Top 30 University)			
Vision	**Education without boundaries**	**Values** — Inclusive, Collaborative, Impactful **Principles** — Creating opportunities, Building Partnerships, Delivering Impact		
Strategic priorities	Student success	Inclusivity and culture	Research and knowledge exchange	Connected and sustainable campuses
Priority themes	Inclusive Recruitment Enhanced Student Experience Best Graduate Outcomes	Sector Leading EDI Staff Development Mental Health	Strategic Partnerships Impactful Research Eco system for Knowledge Exchange	Innovation through technology Distinct Campus Identities Green and Sustainable University
Sub-strategies	Student success (teaching learning and student experience)	Research and knowledge Exchange strategy		Partnerships
Enablers	People (people and EDI)			
	Place (estates, digital and digital engagement and sustainability)			
	Performance (systems and finance)			
Action Plans	Faculty	Professional services		One university
Strategic target	TEF Gold (or equiv.)	Accredited by all major EDI bodies	Top quartile REF and KEF	Financial sustainability (EBITDA)

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Strategic Priorities – performance indicators

Student Success	Inclusivity and Culture	Research and Knowledge Exchange	Connected and Sustainable campuses
• Inclusive Recruitment • Enhanced Student Experience • Best Graduate Outcomes	• Sector Leading EDI • Staff Development • Mental Health	• Strategic Partnerships • Impactful Research • Eco system for Knowledge Exchange	• Innovation through technology • Distinct Campus Identities • Green and Sustainable University
TEF Gold (or equiv.)	Accredited by all major EDI bodies	Top quartile REF and KEF	Financial sustainability (EBITDA)

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Tips to achieve a meaningful appraisal

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A reminder

- Conversations should be 'led' by the appraisee not their manager.

- If you have a lot of colleagues to appraise, pace yourself (and your diary commitments). 90 mins.

- Both parties should prepare in advance (be prepared to postpone a session if either party is not 'ready').

- Appraisers: be prepared to highlight positive examples of performance and values-based behaviours that your colleague may not have thought of.

- Appraisees: Highlight positive examples of things that you are really proud of.

- Have a genuine conversation about where things have not gone to plan and reflect on what can be done better next time.

- Lived experiences matter. If you understand what is important to others, you can adapt your approach to individual styles and preferences.

- Be aware of your personal bias.

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The Types of Unconscious Bias We Need to Address

Beauty Bias — Judging people based on how they look.

Affinity Bias — Hiring people the same as ourselves.

Horns Effect — Negative assumptions cloud our judgement.

Confirmation Bias — Searching for evidence to back up first impressions.

Attribution Bias — How we perceive the actions of others.

Conformity Bias — Changing opinions to conform with the group.

Halo Effect — Perceived as having more positive traits than others.

shineinterview.com

[Understanding Unconscious Bias | Royal Society](#)

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Reviewing past performance

Functional

- Did you /they achieve their objectives?

- If not, why not? Are there extenuating circumstances? (e.g. wellbeing)

- Use examples throughout to de-personalise any potential areas of conflict.

Behavioural

- Did you /they demonstrate the university's values (consistently)?

- What behaviours would you like to see more/less of?

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Ratings

A* - Significantly exceeds performance standards
Overall performance is consistently and significantly above the expectations of the role/post. Individual has made progress beyond their ambitious objectives. They support others to achieve success in terms of university impact. The individual exemplifies the university values.

A - Exceeds performance standards
Overall performance is above the expectations of the role/post. Individual achieves outcomes beyond the scope of their objectives. Assessment recognises the higher degree of effort in meeting ambitious or developmental objectives which support the university's impact. The role holder demonstrates the university values and influences others with demonstrating these.

B - Achieves performance standards
(this is good performance)
Overall performance meets the expectations of the role/post. Assessment allows flexibility to accommodate those instances where the staff member is deemed competent in their work area, and has achieved the most critical objectives but may not have been able to achieve the more ambitious ones. The individual demonstrates the university values.

C - Areas of improvement needed to meet performance standard
Overall performance is not meeting the expectations of the role/post and is having an impact on the work of others. The performance at this level shows the individual partially met but did not consistently achieve the objectives, including one or more deemed critical. Not all the university values are demonstrated. Performance assessment should only be awarded where additional support provided indicates the individual still needs to improve, and without this there will be a need to commence the informal stage of the capability procedure.

D - Significantly below performance standards
Overall performance is consistently and significantly failing to meet expectations of the position. Performance at this level shows the jobholder clearly did not meet their objectives. There is little demonstration of our values. Assessment should only be awarded where the formal stage of the capability procedure will need to commence.
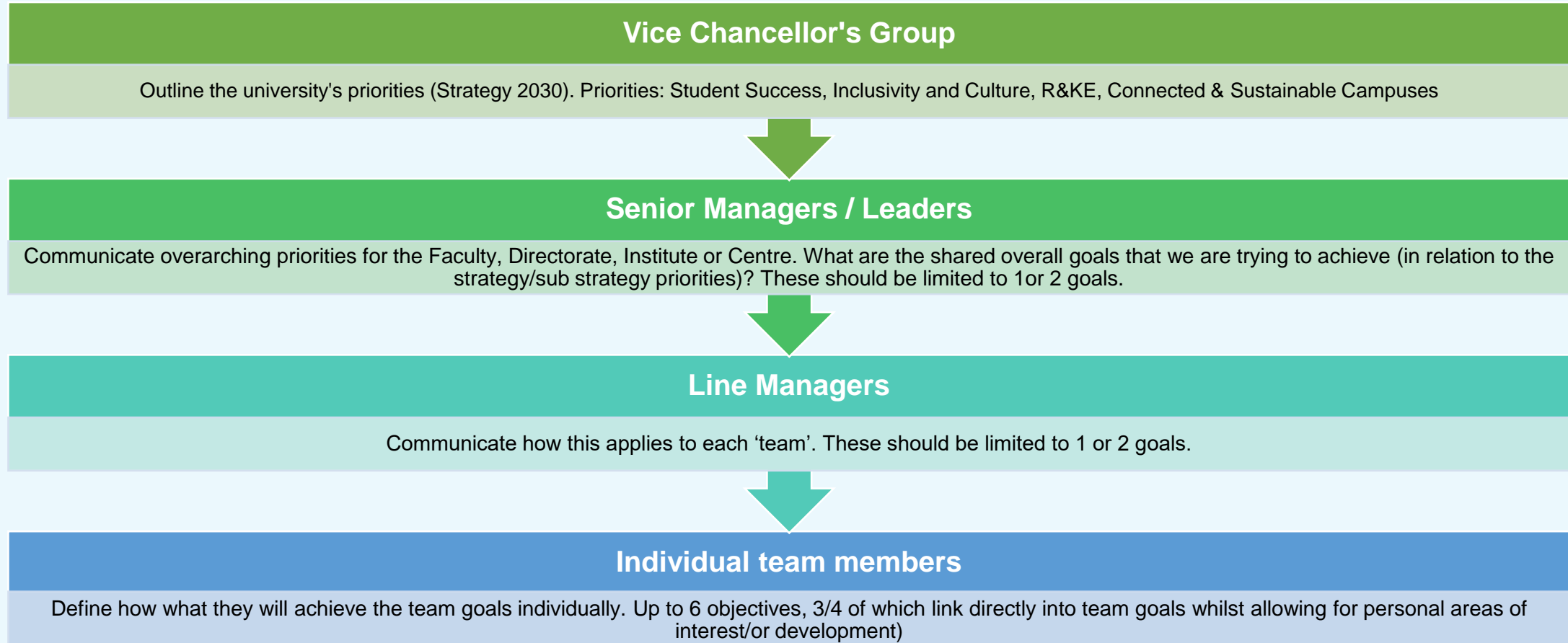
- It is good practice to ask individuals how they would rate themselves.
- Where circumstances outside the control of the staff member have affected achievement of an objective, that objective should be disregarded for the purposes of the assessment.

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Consistency of ratings

- To support **openness, transparency and fairness**, we are encouraging management teams to hold pre-rating discussions to ensure ratings are applied consistently.

- Managers will still be responsible for the rating selected, but by having discussions with others this will help them confirm their decisions.

- Rating discussions will also encourage managers to **evaluate rating changes**, or those which are very low or high year on year.

- Managers will still be responsible for **confirming the final ratings** with their team members and on the system.

Setting objectives for the year ahead

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Achieving Alignment

Vice Chancellor's Group

Outline the university's priorities (Strategy 2030). Priorities: Student Success, Inclusivity and Culture, R&KE, Connected & Sustainable Campuses

Senior Managers / Leaders

Communicate overarching priorities for the Faculty, Directorate, Institute or Centre. What are the shared overall goals that we are trying to achieve (in relation to the strategy/sub strategy priorities)? These should be limited to 1 or 2 goals.

Line Managers

Communicate how this applies to each 'team'. These should be limited to 1 or 2 goals.

Individual team members

Define how what they will achieve the team goals individually. Up to 6 objectives, 3/4 of which link directly into team goals whilst allowing for personal areas of interest/or development)

All objectives /goals should be SMART

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S
Specific
State what you'll do

Use action words

M
Measurable
Provide a way to evaluate

Use metrics or data targets

A
Achievable
Within your scope

Possible to accomplish, attainable

R
Relevant
Makes sense within your job function

Improves the business in some way

T
Time-bound
State when you'll get it done

Be specific on date or timeframe

Example: Student Success

Academic

University Priority (Library Goal): Student Success

Goal Name (Description): Enhanced Student Experience

Personal objective (free text): To review all the NSS scores and student feedback regarding my programme and implement an action plan by Feb 2023.

Measure/KPI (measurement): To achieve NSS score of 75% by Sept 2023.

Professional Services

University Priority (Library Goal): Student Success

Goal Name (Description): Enhanced Student Experience

Personal objective (free text): To acknowledge and signpost student requests for finance support effectively by July 2023.

Measure/KPI (measurement): To complete 85% of student hardship fund request within 21 days of receipt by July 2023.

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Example: Inclusivity and Culture

Academic

University Priority (Library Goal): Inclusivity and Culture

Goal Name (Description): Sector leading EDI

Personal objective (free text): To set up a working group to oversee the decolonisation of the School's XX portfolio which includes student representatives.

Measure/KPI (measurement) : 3 of 7 programmes can demonstrate that their programme design and learning outcomes have been decolonised by Sept 2023.

Professional Services

University Priority (Library Goal): Inclusivity and Culture

Goal Name (Description): Sector leading EDI

Personal objective (free text): To ensure that our HR policies have been updated in line with Stonewall requirements.

Measure/KPI (measurement) : 5 of 10 policies are compliant with stonewall requirements by Aug 2023.

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Example: Research and Knowledge Exchange

Academic

University Priority (NRI Goal): R&KE

Goal Name (Description): Impactful Research

Personal objective (free text): to increase the quality of my publications

Measure/KPI (measurement) : Publish at [x] paper(s) in a Q1 journal by [date]

Stretch KPI:
To write a blog about the publication

Professional Services

University Priority (Library Goal): R&KE

Goal Name (Description): Impactful Research

Personal objective (free text): To ensure that all impact case studies from the 2022 REF have been published on the university website.

Measure/KPI (measurement) : 100% of articles have been published.

Stretch KPI:
To tweet at least twice on each article.

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Example: Connected and Sustainable Campuses

Academic

University Priority (Library Goal): C&SC

Goal Name (Description): Innovation through technology

Personal objective (free text): To add a simulation / VR module into XX programme by September 2023.

Measure/KPI (measurement) : 100% compliance. Contributes directly to the university's digital strategy and outcomes (TEF).

Professional Services

University Priority (Library Goal): C&SC

Goal Name (Description): Innovation through technology

Personal objective (free text): To ensure that 90% of helpdesk enquiries are resolved and closed within 48 working hours.

Measure/KPI (measurement) : 90% compliance achieved and evidenced in team reporting. Contributes directly to the university's digital strategy and outcomes (NSS score).

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Example: Connected and Sustainable Campuses

Academic

University Priority (Library Goal): C&SC

Goal Name (Description): Sustainability in teaching and learning or research and KE

Personal objective (free text): Incorporate sustainability in the teaching module handbook and programme by September 2023. Work with the sustainability team to audit X lab and improve of water and energy efficiency by 20% by 2024.

Measure/KPI (measurement) : 85% compliance. Contributes directly to the university's Sustainable Development Goals (SDG).

Professional Services

University Priority (Library Goal): C&SC

Goal Name (Description): Sustainable procurement

Personal objective (free text) Set a focussed target on reducing the need to procure or will purchase sustainable alternatives as a team member

Measure/KPI (measurement) : 90% compliance achieved and evidenced in team reporting. Contributes directly to the university's Sustainable Development Goals (SDG).

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Thoughts on good objective setting

- Prioritize/rank objectives – agree what is most important and least crucial?
- Adding steps to objectives is useful – not everything will be agreed in one year for example
- Measurement for processes is hard – ask 'how will we know when this goal has been achieved?'
- A good number of objectives is 6 - more lacks focus, less lacks stretch
- There is no harm, if some objectives cannot be agreed during the meeting, so ask for more time to agree objectives
- Think about the consistency of objectives for similar roles and grades as you agree them – careful not to over/under stretch

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Talking about our values
Inclusive, Collaborative and Impactful

Use the values to evaluate how you have worked. Looking ahead, use the values to guide your objectives (goals).

- Who did you collaborate with, how do you know it was effective? Why was impactful – did it create better measures of success such as more active partnerships?

- Getting involved with Sustainability to deliver research or initiatives for our sustainable development goals. How are you sharing this knowledge, is it contributing the University's SDG goals and supporting a net zero campus?

- Will be an active member of the LGBT+ staff and ally community, supporting the creation and running of events across the year, to develop an open, safe and inclusive environment as measured by the Stonewall WEI survey.

- As a line manager I have read Neurodiversity-in-the-Workplace-Guidance-September-2020.pdf (gre.ac.uk) know how to support hidden disabilities, and will create a team objective to support the Race Action Plan.

- If you are closing BAME awarding gaps on your modules, are you sharing this information and supporting others to do the same? Are you asking for feedback so you can validate what works in different situations?

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Further support

Horizon Talent - Appraisal Guidance

- [The Appraisal Process Using the Horizon System - Appraisers](#)
- [The Appraisal Process Using the Horizon System - Appraisees](#)
- [The Appraisal Process Using the Horizon System - Participant Manager](#)
- [Career Development in the Horizon System](#)
- [Setting Goals and Objectives in the Horizon System](#)

All Horizon queries must be sent to ITServiceDesk@gre.ac.uk

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