

Performance Review and Development Policy 032015 AL

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V1	2008 new policy
V1	April 2012 internal review: no changes required
V1.2	March 2015 amend dates of corporate plan 2012-2016
Next update due:	2018 3 years unless legislative update needed



## **Performance Review / Development Policy**

### **Overarching aim of the Performance Review Scheme**

The University believes that the performance review scheme is central to developing and supporting its staff, enabling them to make an effective contribution to the success of Liverpool Hope. The purpose of the scheme is to review periodically the work, development needs and career aspirations of staff in relation to the requirements of the Faculty/Department plans and the University's corporate plans and strategic intent. It is intended to be of mutual benefit to the University, its staff and the services provided especially those received by the students.

This policy should be read in conjunction with the **Performance Review Scheme Guidelines**.

### **2. Core Principles**

The core principles of the scheme are:

- It is part of an on-going process of effective performance management at the University with a formal, annual meeting to review progress supplemented by formal interim review meetings when required.
- A two way process of communication leading to agreed performance outcomes related to work priorities.
- Providing a framework for the planning, organisation and fulfilment of University and Faculty/Department plans and objectives, clarifying the individual's role in meeting those objectives.
- Recognising individual contributions within a framework of constructive openness that provides an opportunity for members of staff to discuss their job performance against agreed objectives.
- Identifying ways in which to improve individual performance
- Identifying development and training needs based on job roles, Faculty/Department/University strategic and other associated plans.
- Identifying and developing potential for promotion.
- Cultivating a culture of continuous improvement in line with other University initiatives.
- It identifies changes in the University or Faculty/Department which would enable individuals to improve their performance

The scheme is mandatory for all staff<sup>1</sup> who have completed their probationary period. Participation is required from all employees and relevant managers. It will be monitored and evaluated at a Faculty/Department and University level to help improve the efficiency with which the University is managed and to support organisational learning.

### **3. Equal Opportunities**

Liverpool Hope University is committed to the principles of equality and diversity as well as the elimination of discriminatory practices. These principles apply to the treatment of all staff.

This policy together with any supporting procedures will be implemented in a non-discriminatory manner. Members of the University administering the policy are responsible for ensuring that in its application, those to whom the policy applies, shall not receive less favourable treatment on grounds of sex, marital status, gender reassignment, racial group, disability, sexual orientation, religion or belief, age, socio-economic background, trade union membership, family circumstances, or any other irrelevant distinction.

As part of this commitment effective monitoring arrangements will be conducted during and after each performance review cycle to ensure that any potential adverse negative impacts for a particular group of staff that are identified are considered and where possible either removed or minimised. The monitoring arrangements will include quantitative and qualitative feedback and consultation with appropriate stakeholders.

### **4. Performance Management**

The performance review scheme is an essential element in the ongoing management of performance. The link between performance and development is a central part of the scheme and hence conducting a review of performance is an essential part of the process. This will involve:

- Reviewing past performance
- Recognising the individual's achievements and contributions
- Identifying an individual's strengths and weaknesses
- Setting feasible performance objectives
- Planning staff development and improvements in performance within the framework of the University's needs

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<sup>1</sup> All staff on full time and proportional contracts are required to take part in the scheme. Whilst hourly paid staff should be given the opportunity to join the scheme they should receive support and development guidance through the normal management process

If the annual review meeting identifies areas for improvement then an agreed action plan should be implemented and the progress made should be considered at agreed interim review meeting/s. If at the time of any designated interim review meeting there is evidence that progress is being made then further action is unlikely to be necessary and monitoring of progress should be through normal management meetings.

## **5. Different Schemes**

Liverpool Hope will have two schemes, one for academic and one for support staff. Both schemes incorporate all the core principles identified above, but are adjusted in order to refine the approach that is more appropriate to the needs and requirements of both groups.

Support scheme contains the following core performance review documentation:

- **Section A: Individual Review Form**
- **Section B: Review Meeting Form**
- **Section C: Review Meeting Report**
- **Section D: Individual Training and Development Plan**

Academic scheme contains the following core performance review documentation:

- **Section A: Individual Review**
- **Section B: Review Meeting Form including assessment of performance, targets and training requirements**

## **6. Frequency**

The formal annual performance review meeting should take place in good time to inform and identify needs for a new academic year.

## **7. Implementation**

Each Faculty/Department with the support of the Personnel department will devise a 'local' implementation performance review plan which shall identify the following:

- Individual responsibilities for Managers and who they review.
- A timetable for the annual review meeting
- Development and training requirements
- A system to assist any problems that might arise
- A monitoring procedure to covering all aspects of the scheme.

## **8. Role Profiles / Job Descriptions**

Role Profiles (and if one does not currently exists, an up-to-date Job Description) should be used by managers and staff as an aid to the process in terms of structuring preparation and focussing the discussion at the meeting. The meeting should identify the key elements of

the role profile that underpin the identified objectives and required performance of the individual.

## **9. Further Action Outside of the Performance Review Scheme**

It is important that staff are managed in a fair and consistent manner and that concerns over an individual's performance are dealt with promptly by the line manager as and when they arise. A line manager should not wait until the next annual review or interim review to raise matters of serious concern.

In the cases of more serious under performance action may be appropriate under the University's capability procedure. The performance review scheme is not the process to address serious under performance. If the capability procedure is enacted performance review scheme documentation can be used as contributory evidence in any formal proceedings. In all such instances further advice about the management of poor performance within the formal procedure should be sought from HR. In cases where formal action is being taken performance review meetings are unlikely to be appropriate.

## **10. The Manager Conducting the Performance Review**

Normally performance reviews will be conducted by a line manager or by a senior colleague, nominated by the Dean or Senior Manager with overall responsibility for the member of staff.

All managers conducting reviews should have received appropriate training and not normally be expected to review more than 10 staff in any one year.

## **11. The Individual**

The individual being reviewed should ensure that they are broadly aware of the Faculty/Department and University's future objectives and direction. Such information should include short and long term aims.

The individual should also be familiar with their job description and/or role profile as means of a way to aid the annual meeting.

The individual will be required to conduct a self assessment document as part of the process.

## **12. Follow-Up Action**

Follow-up action may be the responsibility of one or more people. These include the individual in respect of tasks/activities which she or he proposes undertaking over a timescale agreed with the manager. The manager should ensure that appropriate discussions take place with the member of staff about the progress of meeting agreed actions and work collaboratively to overcome any blockages. These discussions can take place during management meetings or at the interim review meetings. Other targets and actions maybe set outside of the scheme as part of normal managerial arrangements.

### **13. Records**

Confidentiality is important to foster an open discussion at the meeting and what is said between the parties should remain confidential unless noted on the review form.

The documentation will be restricted information held in a secure location within the Faculty/Department and accessible only to the manager and individual; the Dean/Senior Manager or his/her nominee; the Vice Chancellor or his/her nominee; the Director HR; HR Adviser. The individual employee should be informed that the documentation is to be viewed and for what purpose. Normally the documentation will be requested for quality assurance and consistency exercises, strategic planning purposes, corporate training plans, the collation of training and development activity and outcomes.

However as highlighted in section nine relevant performance review documentation may be used in capability processes by either party.

Non attributable information will also be collated from the records to aid organisational and Faculty/Department planning and improvements and be shared with appropriate committees and management teams.

Where the implementation of the agreed action plan depends on decisions of an individual or body which is not part of the process (e.g. in the area of research support) a mechanism will be needed to be put into place to enable action to be taken forward. The need to seek this other input should be made clear to the individual. Equally some action plans and objectives may have an impact on the Faculty/Department as a whole. In such circumstances with the agreement of the individual it is important that these actions and objectives are shared with other members of staff. Communication of such information is expected to be appropriate to the situation and sensitive to the needs of the individual.

### **14. Monitoring**

The Dean/Senior Manager and HR Adviser will be responsible for ensuring all eligible staff reviews are completed. An annual statement will be provided to the Vice Chancellor and Staffing Committee that confirming whether the process has been satisfactorily completed with relevant information provided to be captured on the HR IT system.

### **15. Cases of Disagreement**

Agreement on all points is not an essential requirement and disagreements can be recorded on the documentation as such. Where there is serious substantive or procedural disagreement between the two parties which is so fundamental to prevent agreement on objectives, action points, development needs etc then the individual can appeal to the appropriate Dean/Senior Manager. In the case of the disagreement being with the Dean/Senior Manager the appeal should be referred to their line manager or relevant Pro-Vice Chancellor.

### **16. Special Circumstances**

### **Absence due to Ill Health**

If significant absence has taken place the review needs to take into account what could have been realistically achieved within the reduced time-frame. A note should be made on the form to record either the modification to the objectives or an explanation of any failure to meet objectives etc.

### **New Staff**

If a member of staff joins the University outside of the performance review cycle, they should be set some suitable and realistic objectives prior to the next full cycle, when they should then complete a full annual review.

### **Temporary Promotion**

If the period of promotion is for more than six months, the review should be carried out within the more senior role, if less then the member of staff should be reviewed within his/her substantive role.

### **Member of Staff with a Disability**

Managers should ensure that all reasonable adjustments have been made to facilitate the needs of those members of staff with disabilities.