

## School of Clinical Medicine Appraisal Scheme

### 1 **Context**

Appraisal, also referred to as Staff Review and Development (SRD), is an essential part of the University's commitment to developing staff. The University has set out a framework for how SRD is carried out, and encouraged Institutions to develop their own procedures.

This is the School of Clinical Medicine Appraisal Scheme ("the Scheme").

### 2 **Scope**

The Scheme applies to all School of Clinical Medicine staff except where statutory TUPE transfer protection applies. If you are unsure whether the Scheme is applicable to you, please contact your Departmental Administrator or the School of Clinical Medicine HR Business Manager for further guidance.

All clinical staff are subject to this Scheme. The Scheme is part of the joint University and clinical appraisal processes.

### 3 **Scheme Aims**

The purpose of the Scheme is to:-

- Enhance work effectiveness; and
- Facilitate career development.

The Scheme:-

- provides the opportunity for staff to have uninterrupted time with their line manager/PI to discuss performance and development, expectations and objectives, and to ensure these are in line with the objectives of the Department and School of Clinical Medicine;
- provides an opportunity for positive and constructive two-way review of work progress;
- supports academic and research staff in maximising their research potential and to support the Research Excellence Framework (REF);
- provides an opportunity to invest time in nurturing careers to ensure that individuals fulfil their full potential, supporting a process of continuous professional development;
- supports engagement, which is linked to both improved motivation and greater staff retention; facilitates the recognition and celebration of achievement;
- provides an opportunity to discuss succession planning which is of particular importance at the latter stages of an established officer's career;
- supports setting of objectives and priorities, and agreement of an action plan;

- allows for identification and discussion of difficulties or obstacles to the appraisee's effectiveness, and ways in which any difficulties and obstacles to progress could be removed;
- provides for discussion of training needs for the appraisee's current role, as well as career development.

All appraisals must be conducted within the spirit of the University's equality and diversity policies.

Appraisal does not replace good management practice, nor is it used as a disciplinary tool or a means of determining pay.

#### 4 **Frequency**

Appraisal is carried out annually. It is noted that for some staff a 12 month planning timeframe cuts across some longer term individual objectives and delivery plans but a formal annual appraisal / review meeting should still be carried out.

In addition to an annual appraisal, follow-up meetings may be required to review progress within an appraisal period.

Departments may find it helpful to schedule an "appraisal month" either at the start or end of the academic year, or calendar year. For clinical staff, academic appraisal should be undertaken at an appropriate time within the clinical appraisal cycle.

For staff on probation of 12 months or less, a first appraisal should be carried on satisfactory completion of probation. Where a member of staff has a probation period of more than 12 months the University's formal probationary review process should be followed to ensure regular review and planning meetings over the probation period, and the completion of probation paperwork. However, it may be appropriate to draw on elements of the School's appraisal process which would add value to a probation review, and actively to integrate these into probation review meetings.

#### 5 **Requirements for contribution rewards or promotion**

It is a prerequisite for salary contribution rewards to be awarded, or for promotion to be sought through the senior academic or research promotion processes, that applicants must have undertaken an appraisal within the previous 12 months. An exception will only be made when it is clear that both appraisee and appraiser have clearly taken all appropriate action to overcome a barrier to the process – for example, it may be reasonable to delay an appraisal beyond 12 months where a line manager has a prolonged unplanned absence and the Head of Department agrees with the appraisee that it is not appropriate to nominate another senior manager to undertake the appraisal.

## 6 **Appraiser**

An appraiser would normally be the appraisee's direct line manager or, for academic staff, as nominated by the Head of Department. If appropriate, an appraisee will be asked to express a preference between nominated appraisers. If an appraisee wishes to request an alternative appraiser from the one nominated to them, they should discuss the matter with their Head of Department.

Normally, an appraiser would appraise no more than 12 appraisees annually.

## 7 **Counter Signatory**

The appraisal counter signatory should be a senior manager. He/she undertakes this role as delegated by the Head of Department. Heads of Department should undertake this role for all academic and senior research staff (senior research associate and above).

## 8 **Training**

### 8.1 **Appraiser**

All appraisers should complete appropriate appraisal training prior to carrying out an appraisal. On appointment, appraisers will be encouraged to complete appraisal training within the first 6 months of their appointment.

Appraisers who have not carried out an appraisal within the previous 2 years should carry out refresher appraisal training before carrying out an appraisal.

Further information about on line training and training courses is at: <http://www.training.cam.ac.uk/cppd/course/cppd-staffreview2> (PPD "staff review and development for reviewers")

### 8.2 **Appraisee**

New employees should be encouraged to complete appraisee briefing within the first 6 months of their appointment.

Further information is at: <http://www.training.cam.ac.uk/cppd/course/cppd-staffreview1> (PPD "staff review and development for reviewees")

## 9 **Confidentiality**

Appraisers must ensure that completed appraisal forms are handled appropriately and retained securely, in line with Departmental arrangements. Each appraiser should ensure that an appraisee is expressly made aware of the particular arrangements in place with respect to review of his/her confidential appraisal documentation and its retention. If an individual's appraiser changes between one year and the next, the new appraiser will be given a copy of the previous appraisal form.

## 10 **Departmental Review Process**

Heads of Department or his/her nominated representative should make arrangements to meet with appraisers before and after each cycle of reviews on an annual basis. This provides an opportunity to cascade objectives, ensuring alignment with wider University, School or Departmental objectives. It also provides an opportunity to identify common themes or emerging problems so that appropriate action can be taken, for example, advising the Staff Development Unit of generic training needs and informing staff of common issues that have emerged and steps that are being taken to address them. Appropriate steps to ensure confidentiality within any such review processes should be expressly agreed within each Department.

## 11 **Recording and Monitoring**

The School's Appraisal Form should be completed.

The date an appraisal has been carried out, and the name of the appraiser, should be reported by the appraiser to the Departmental Administrator who ensures that this is recorded on the CHRIS system. CHRIS data will be used to report on, and monitor, the appraisal process across the School.

An annual report is made to the Regius which details the percentage of staff, by Department, who have benefited from an appraisal within the previous 12 months.

## 12 **Status of the Scheme**

The Scheme does not form part of employees' terms and conditions of employment and may be subject to change. It is not intended to remove any current protections afforded to employees under their contracts of employment or under existing legislation or other local arrangements agreed by the University and trades unions.

## 13 **Further Information and Supporting Documentation**

Please refer to:-

### **A School of Clinical Medicine- Further Information and Resources (available on the School of Clinical Medicine website, HR pages)**

- I. School of Clinical Medicine "Appraisal Frequently Asked Questions"
- II. School of Clinical Medicine "Appraisal Form"

### **B University of Cambridge Further Information and Resources**

web pages: "Staff Review and Development (Appraisal)" at <http://www.admin.cam.ac.uk/offices/hr/policy/appraisal/>

Specifically:-

- “University of Cambridge Information Sheet – What is Staff Review and Development?” – a leaflet detailing the benefits of appraisal and the stages of the review process:-
  - [http://www.admin.cam.ac.uk/offices/hr/policy/appraisal/information\\_sheet.pdf](http://www.admin.cam.ac.uk/offices/hr/policy/appraisal/information_sheet.pdf)
- SRD Scheme guidance for Academic Staff:
  - <http://www.admin.cam.ac.uk/offices/hr/policy/appraisal/academic/>
- Career Management Review Scheme for contract research staff:-
  - <http://www.admin.cam.ac.uk/offices/hr/policy/career/>

### **13 Feedback and Improvements to the Scheme**

The Clinical School welcomes feedback on the operation of the Scheme. If you have suggestions that would help to improve the process or the supporting paperwork please contact the Clinical School HR Team.