



HARROW INDEPENDENT COLLEGE

School of Mathematics, Science & Economics

**Harrow Independent College
Staff Development and Performance Review (SDPR)- Updated on
02nd November 2022**

Notes of Guidance- Revised and updated

1. Philosophy of HIC Staff Development and Performance Review (SDPR) Scheme

HIC SDPR Scheme aims to link individual performance review with plans for organisational and staff development. At the heart of the Scheme lies the notion that every member of HIC staff should be expected, encouraged and enabled to conduct a regular and systematic self-evaluation of his or her own practice, to promote professional self-development. This evaluation and development should be assisted by peer review and is focused through a structured process involving interviews by appropriate appraisers, leading to defined outcomes such as specific individual development objectives.

The Academic Head and other managers in the Institution have particular responsibility as appraisers, and Course Coordinators are accountable for the effective operation of the Scheme within each academic department.

In this context, ‘managers’ refers to those senior staff, including the Chief Executive, Head of Administration and Compliance, Course Co-ordinators, who have line management responsibilities including planning and selecting individuals’ work programmes, and setting priorities and allocating resources for staff development. In general, managers involved in appraising the performance of others should themselves be subject to a systematic performance review scheme.

HIC SDPR Scheme will be separate from procedures relating to the resolution of grievances, discipline, probation, remuneration and promotion. However, the longer term aim will be to work with staff to relate all these procedures to one another, so as to provide a supportive framework which recognises the professional nature of the teaching and other administrative role; advances and protects the interests and standards of the profession, and commands the confidence of staff.

2. Overall Aim

The overall aim of the SDPR Scheme is to improve service to students and other clients by linking review of individuals' past performance with plans for future organisational and individual development. This will maintain and enhance the quality, morale and motivation of academic staff and reconcile their professional interests with those of the Institution, its students and clients.

The SDPR Scheme aims to link individual and organisational needs by assessing past performance and future development potential. This will involve:

- Reviewing past performance.
- Recognising an 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 organisational needs of HIC

Through appraisal, every member of academic and administrative staff will be expected, encouraged and enabled to conduct regular and systematic self evaluation of his or her own practice, to promote professional self development.

3. General Features of the Scheme

Staff Development and Performance Review is an important part of the process whereby

- a. Senior managers communicate and clarify the implications of HIC strategic plans to individual staff; and
- b. Individuals ensure that their full contribution and their own reasonable professional aspirations are recognised.

The SDPR process complements many other activities which aim to formulate and achieve organisational objectives and create a context for professional development. It is not and must not be seen as a substitute for those other activities.

The SDPR of the Institution's academic staff is seen as a continuous process which includes a structured appraisal meeting. During this process appraisers will:

- Assist individuals with their own development within the institution.
- Discuss and agree development needs and consider professional aspirations.
- Communicate, clarify and discuss Institution plans with individual staff.
- Identify changes that would help towards improvements in performance, individually

or collectively.

- Help staff evaluate their own effectiveness at work, identifying areas of strengths and considering where improvements can be made.

For professional self-evaluation and development every member of staff should:

- Keep a personal record of achievement, with a regularly updated curriculum vitae (CV) forming a public part of that record.
- Maintain a continuing professional development plan including agreed objectives. This will be essentially self-managed but subject to joint review by appraiser and appraisee.
- Participate in a process of appraisal (including the observation of the appraisee's work) which recognises the value of peer review and self-evaluation.

The full SDPR meeting will take place once in a year and will draw together all elements of the appraisal process i.e. student feedback and observation of the teaching process. The outcome is a six month/one-year action plan. A formal review of the action plan takes place to update it, discuss progress and agree any additional support required.

Staff on Probation - For staff on probation it is important that they are adequately supported during the early years of their career. They will come within the probation procedure in the first three months and this is then followed by annual appraisal.

The Academic Head (Principal) and Head of Administration and Compliance will need to determine an appropriate method of allocating appraisees between those who are due a full appraisal and a formal review.

4. Staff Development and Performance Review Scheme Benefits

Staff Development and Performance Review Scheme aims to support a constructive partnership between staff and managers in matching individual and organisational needs and aspirations.

Benefits to the staff:

- To provide a context for constructive evaluation of individual performance.
- To ensure a systematic basis for development and training.
- To provide an opportunity for staff to discuss their problems and aspirations openly with their managers.
- To enable staff to review their own performance and to clarify organisational needs and priorities.
- To enable staff to satisfy the demands of changing institutional requirements.
- To enhance job satisfaction.
- To improve knowledge with regard to the operation of the Institution and education in general.
- To assist in the realisation of individual potential.

Benefits to the Institution:

- To achieve the stated institutional objectives.
- To underpin, support and enhance the quality of the learning experience.
- To maintain and develop the relevance of existing expertise.
- Supports implementation of the Personnel Strategy, equal opportunities and other policies.
- To improve communications and promote positive professional relations.
- To create a sense of identity and motivation in members of staff.
- To increase efficiency, effectiveness and general competence.

HIC Commitment to Staff

One of the core ethics of HIC is to ‘encourage all students and staff to aspire to high standards, develop to their full potential and apply knowledge and skills to the benefit of the society’. This value is based on three key commitments for our staff:

- As an institution dedicated to the pursuit of knowledge, the Institution recognises the importance of learning and development in people’s lives and should seek to support this for its staff as well as for its students.
- The recognition of the importance of developing staff so that they are best placed to contribute to the achievement of individual, departmental and institutional objectives in the context of strategic ambitions.
- That the principles of equality, equity, diversity and fairness should underpin our development provision so we are able to maximise the potential contribution of all individuals within our diverse workforce.

What staff should expect from HIC?

Each member of staff has the right to expect to receive staff development entitlements which give opportunities to:

- be inducted into the Institution and understand its ways of working including what contribution that individual is expected to make;
- be supported to develop the competence and capability for which the member of staff has been employed;
- have the opportunity to develop new competencies and capabilities of relevance to the individual’s employment at the Institution, and which enhance career prospects and lifelong learning both within the Institution and outside of it;
- participate in the Institution’s staff development performance and review (SDPR) process, in collaboration with the line manager, which gives opportunities for on-going support, an annual review of the individual’s past development and identification of plans for the future;

What HIC expects from staff?

The HIC has the right to expect that each member of staff, as part of the individual's contractual obligations, will:

- develop his/her competence and capability which are aligned to the Institution's strategy as it may be operationalised at faculty, departmental, team or individual level;
- in collaboration with the line manager, participate in the Institution's staff development and performance review (SDPR) process which includes opportunity for appropriate on-going support, undertaking an annual review of the individual's past development and identification of plans for the future;
- take personal responsibility to update specific expertise on a regular basis, and as appropriate to the nature of the individual's post;
- contribute to team staff development where appropriate;
- Keep a record of his/her staff development activity.

Staff Development

Definition

Staff Development is the acquisition and development of skills and knowledge through a planned and deliberate learning process in order to improve personal and organisational effectiveness. More broadly, staff development also includes other personal development activities and opportunistic learning which will enhance the individual's contribution in the work context.

The staff development process encompasses:

- The identification of individual staff development needs.
- The design of individual development plans.
- The provision of appropriate development activities within the Institution.

Aims of Staff Development

The aim of staff development at HIC is to support staff both corporately and as individuals in the context of strategic objectives and the Institution Development Plan to meet the needs arising from:

- Institutional development
- Professional development
- Personal development

Institutional Development

- Staff development planning will be an integral part of the strategic planning process of HIC
- The annual staff development plan and internal development programmes will be based on the analysis of needs carried out in the context of the strategic plan/development plan and external initiatives which will impact upon the Institution.
- Staff at all levels will be supported in responding to changing duties, roles and responsibilities associated with institutional and personal development.

Professional Development

- Staff development will seek to prepare staff for changes in their duties, roles and responsibilities.
- Staff development will address issues raised in operational plans and through self-assessment.
- Staff development will seek to ensure all staff has a programme of continuous professional development to ensure they meet their full potential.
- The SDPR Scheme will ensure the continuous professional development of each individual within the context of the Institution's strategic and operational objectives.

Personal Development

- All newly appointed staff will undertake an induction programme and induction training.
- All newly appointed staff and those undertaking new roles will receive the support of a senior staff.
- Newly appointed staff undertaking teaching/training roles will be encouraged in obtaining a teaching qualification.
- The annual appraisal will address issues relating to personal development needs.
- Staffs will be encouraged to undertake appropriate training to ensure they are able to develop individual skills needed to meet their personal targets and objectives.

Policy Practices

- The HIC aims to train and develop its entire staff. The Institution expects the achievement of this is through providing accessible, high quality development opportunities in education, learning and research. The quality and commitment of HIC staff are fundamental to achieving its mission; the Institution aims to foster a professional approach in all staff and to encourage their contribution as team members.
- The development of all Institution staff is integral to the pursuit of quality, effectiveness and success. The Institution seeks to maximise individual contribution at all levels by providing appropriate opportunities for personal and professional development.
- The development needs of all members of staff will be reviewed at least annually as part of the Personal Development and Review process. Staffs are encouraged to produce a personal portfolio of their PPD activities to assist in planning their future needs.

- HIC is fully committed to ensuring that all employees have the relevant knowledge, skills and expertise to perform their work to consistently high standards and to achieve their full potential. HIC recognises that training and development is fundamental to ensure the effective provision and quality of its services to students, business, and the community.
- HIC supports the concept of lifelong learning supported by a culture that encourages employees to take ownership for their own professional development. Employees are empowered to identify their own training and development needs and discuss these with their line manager.

6.1 HIC Academic

Appraisal discussions should be set in the context of HIC academic definition and its implementation within the department. This definition outlines the expectation that all academic staff should contribute to both teaching or teaching and professional practice development. It also identifies a number of key elements within the role which staff should be seeking to achieve and demonstrate. These are:

- knowledge of their academic subject area
- contribution to teaching and learning
- contribution, as appropriate, to consultancy and professional practice
- maintaining a high standard of professional conduct

Appraisee and appraiser should come to the appraisal meeting having considered each of these elements in terms of what has been achieved to date and what further development may be needed in order to fully meet the definition.

6.2 Role Definition

The 'Role Definition' document which accompanies the scheme provides a generic definition of the elements identified above and also contains examples of how these skills and attributes can be demonstrated. Appraisees and appraisers are expected to use this summary as an aid to the appraisal process in terms of structuring preparation and focusing the discussion at the appraisal meeting. In all cases the appraisal meeting should therefore include a discussion about each of the elements and what examples can be used to demonstrate effective performance.

6.3 Performance Management

The appraisal and development process is an essential element in the ongoing management of performance. The link between performance and development has always been 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 an 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 organizational needs.

The appraisal meeting provides an opportunity to discuss and receive feedback about achievements but the appraiser also has a responsibility to raise concerns, where they exist, and to agree with the appraisee the action needed. The appraisal meeting should not contain any surprises but should bring together any issues that have already been raised in the ongoing discussions between appraiser and appraisee.

If areas for improvement have been discussed during the appraisal meeting then an agreed action plan should be implemented and the progress made should be considered by the appraisee and appraiser at the interim review meeting, or it may be appropriate to set a shorter review period and hence meet sooner. If at the time of the review meeting there is evidence that progress is being made, then further action is unlikely to be necessary. In such cases the next full appraisal meeting will normally be the forum for further discussions about performance.

6.3.1 Further Action Outside of the Appraisal Process

In the cases of more serious under performance, action may be appropriate under the formal performance management procedure. The appraisal and development process is separate from any formal procedure such as this and hence in such cases appraisal documentation cannot be used as contributory evidence in any formal proceedings.

6.4 Equal Opportunities

HIC has a positive commitment to equality of opportunity as set out in the Equal Opportunity Policy Statement and the appraisal process operates within this framework. Appraisers have a responsibility to ensure that they conduct the appraisal process in a manner consistent with this Policy. In particular appraisers should consider issues such as:

- the conduct of the appraisal meeting itself
- the process for seeking feedback about the appraisee from others
- the aspirations of the appraisee, and whether and how these can be supported
- the outcomes and objectives agreed at the appraisal meeting
- The access to resources to assist with development.

7. Appraisal and Planning

It is essential that inputs to appraisal and the outcomes of appraisal link to the Institution planning process. Hence before the appraisal meeting takes place appraisers should ensure that they have an understanding of the Institution plans and commitments, the HIC academic, and how these impact on individual review and the setting and agreeing of performance/development actions. Appraiser briefing sessions should take place as a means of sharing relevant information before the appraisal round.

The Academic Head(Principal) and Head of Administration and Compliance have a responsibility to ensure that:

- the timing of the appraisal round and its relationship to the planning process is articulated to appraisers and appraisees
- both appraisees and appraisers are sufficiently aware of the Institution's long and short term objectives
- the aspirations and needs and of appraisees are harmonised with the expectations of the Institution
- They have considered how the appraiser will be able to reconcile the need to be able to commit resources, make decisions etc. in relation to the appraisee against the need to co-ordinate resource allocation, prioritise development etc.

It is a requirement of the scheme that appraisers are trained before they conduct an appraisal meeting. It is also helpful for appraisers to meet after the appraisal round to discuss any issues that may have arisen, such as allocation of resources, and to involve appraisers in the further development and implementation of the scheme in the Institution.

8. Appointment of Appraisers

Appraisers should have sufficient knowledge of the work of the appraisee, and management responsibility for them including planning and selecting work programmes, and setting priorities and allocating resources. Academic Head, Head of Administration and Compliance, and other managers (such as Course Co-ordinators) will undertake this role. Chief Executive or Senior Lecturers may act as appraisers.

An appraisee has the right to request an alternative appraiser and such requests will be considered by the Chief Executive. The advice Personnel Services should be sought in relation to any particular problems in appraiser/appraisee relationships.

The scheme recommends that no appraiser should normally deal with more than 6 staff.

9. Peer Review

Peer review is encouraged as a powerful and supportive method of providing feedback to staff. Peer review is not a formal part of the appraisal scheme. It is an informal part of the process through which the appraisee arranges to meet with a colleague(s) to reflect on and discuss their performance and contribution and hence prepare for the appraisal meeting.

It is recommended that peer review is used at an early stage to help appraisees with their self evaluation. Issues raised can then be fed into the formal process at the discretion of the appraisee.

9.1 Observation/Review of the Teaching Process

This is an important element of the scheme and one which should be structured and planned appropriately. HIC believes that observation of teaching is particularly effective if conducted by peers and this approach is therefore recommended. The following guidelines should be

followed:

- teaching and other processes will be observed at least twice in a year in line with the full appraisal meeting
- all appraisees must be observed in a full appraisal cycle.
- the observation must be structured (a proforma has been developed for this purpose)
- An appropriate range of processes should be observed and reviewed e.g. lectures, seminars, workshops and on line materials. In all cases the appraisee and observer will agree which sessions should be observed/reviewed
- Feedback in the form of a written evaluation will be discussed with the appraisee who will bring the output of the observation(s) to the appraisal meeting.

10. Student Feedback

The principle of using student feedback in the appraisal process is articulated in the scheme and hence the appraisees are expected to include student feedback as part of the appraisal process. It is recognised that there may be practical difficulties in attributing feedback to individual members of staff. Where this is the case then the feedback relating to the service with which the individual is associated should be considered.

Prior to the appraisal meeting, the appraiser and appraisee should meet to identify the feedback that will be useful and relevant and should agree how this should be obtained. They should seek to ensure that as far as possible the feedback is representative in terms of the number of students responding and the range of teaching processes that are being considered. The feedback should be available to both appraiser and appraisee. Students should also be made aware of the purposes for which the feedback will be used.

Both appraisee and appraiser will consider the feedback obtained prior to the appraisal meeting:

- appraisees are expected to reflect on this feedback in their written self critical evaluation prepared in advance of the appraisal meeting
- Appraisers will use the feedback in their preparation and will discuss this with the appraisees during the appraisal meeting.

11. The Appraisal Process

11.1 Preparation for the appraisal meeting (appraisee and appraiser)

The appraisal process is seen as a joint exercise in which contribution from both appraiser and appraisee is critical to the successful operation of the scheme.

Careful preparation by both parties is essential in achieving constructive and meaningful appraisal. The scheme is founded on self evaluation by the appraisee but the process will not be successful unless the appraiser can also make an accurate and informed contribution. The

appraiser should therefore gather information, make an initial judgement and be prepared to present this to the appraisee at the appraisal meeting.

The following provides an overview of the preparation and process to be completed:

The appraisee and appraiser are required to consider the contribution made by the appraisee over the appraisal period and be prepared to discuss this at the appraisal meeting. This will be done within the context of the HIC Academic and the Role Definition and hence these documents need to be considered by both appraiser and appraisee prior to the appraisal meeting

The appraisee will be expected to provide a written review of their performance prior to the appraisal meeting.

When doing this the appraisee might wish to consider the following questions;

- a) What have been the main achievements?
 - b) What part of the role has given the greatest satisfaction?
 - c) What part of the role has given the least satisfaction? Is there something that could be done to overcome this?
 - d) Are there problems or difficulties which prevented the appraisee from achieving what was intended?
 - e) Have those problems been overcome?
 - f) What things can be done by others to help improve performance?
 - g) What will be the main goals for the next appraisal period?
 - h) What development needs are there?
 - i) What career development issues are there?
- The appraisee will also be required to provide an updated CV
 - The appraiser will be required to provide the appraisee with feedback at the appraisal meeting and subsequently to confirm this discussion by completing the Record after the appraisal meeting
 - When preparing for the appraisal meeting, appraisees and appraisers are also expected to:
 - seek the views of appropriate Course Co-ordinators and other appropriate staff prior to the meeting
 - consult appropriate course materials, student results, annual reviews, monitoring and evaluation reports
 - seek views from other staffs about the contribution of the appraisee, as well as consult

with the relevant staff about issues which should be included in the appraisal discussions and which may form part of the action plan

- assemble appropriate information relating to the observation of the teaching process
- assemble structured student feedback

11.2 Conduct of the Appraisal Meeting

It is intended that the meeting should be a thorough and well structured review carried out in a positive manner. The discussion should be as full and frank as possible so that the conclusions reached are clear to both parties. Thus an agenda should be agreed at the start of the meeting. All issues should be tackled in as constructive a manner as possible. There may be a legitimate difference of view but a positive appraisal meeting provides an opportunity for tackling such issues in a constructive way.

11.3 Agreement of the Appraisal Action Plan

The discussion at the appraisal meeting will include the action plan for the forthcoming period. The intention is to reach agreement on a number of objectives (four to six will be the usual number). When discussing and setting objectives the following should be considered:

- objectives should have clear outcomes and these should be measurable or observable as far as possible
- objectives may also be developmental and hence should state the training and development support that can be made available
- timescales should be agreed
- objectives should be fully aligned with Institution objectives

11.4 Completion of the Appraisal and Development Record

After the interview the appraiser completes the appraisal record. This should be a succinct commentary of the key elements of the discussion. This should record both agreement and disagreement. This should also contain the records of the discussion about the appraisee's longer term aspirations as well as the agreed action plan. The latter should include any resource implications of the action plan.

11.5 Interim Review Meeting, if required

After the completion of the appraisal record the appraiser and appraisee should agree a date for the interim review meeting. This should be approximately six months after the appraisal meeting. The date of the review meeting will be entered on the appraisal record. The purpose of the review meeting is to consider the previously agreed action plan, agree amendments to the plan and discuss any additional support that might be required. Where the discussion results in amendments to the action plan, then these should be entered onto the appraisal

record which will be signed by both appraisee and appraiser. If it is felt useful to record any of the discussion, then a brief summary should be appended to the appraisal record.

11.6 Summary of the Appraisal Process

The timing of the Institutions appraisal cycle will be determined by the Academic Head and Head of Administration and Compliance. A summary of the appraisal process is attached at Appendix A.

12. Confidentiality

Confidentiality is important to foster an open dialogue and the requirement for confidentiality covers all parties. This relates both to the discussion at the appraisal meeting and the access to the completed appraisal documents.

The appraisal documents will be restricted information held in a secure location in the Institution and accessible only to the appraisee and appraiser; the Chief Executive or his/her nominee; the Academic Head or Head of Administration and Compliance.

The appraisal meeting will be most effective if the appraiser is able to refer to the previous discussion and hence s/he will have access to the previous record. The appraisee should give his/her consent before appraisal information can be made available to any other party.

13. Appeal Process

Agreement on all points is not an essential requirement and disagreements can be recorded on the form as such. Where there is serious disagreement (for example one so fundamental as to prevent agreement on an action plan and staff development needs) then the appraisee can appeal to the Chief Executive or his/her nominee or other appropriate person if the Chief Executive is the appraiser. At HIC, the Chair of Governors is responsible to take this role.

14. Monitoring and Evaluation

The Academic Head and Head of Administration and Compliance will be required to provide a regular report to the Chief Executive and are recommended to ensure that the scheme's implementation is both monitored and evaluated within the Institution. The Chief Executive is responsible for facilitating the exchange of experience and the fostering of good practice.

15. Appraisal Documentation

The following documents form part of the Appraisal and Development Scheme:

- a) Appraisal and Development Scheme – notes of guidance
- b) HIC academic: a definition
- c) Appraisal and Development Scheme – role definition
- d) CV Framework
- e) Teaching Observation Record
- f) Personal Development Record

RESPONSIBILITIES FOR STAFF DEVELOPMENT

Overall Responsibility for Staff Development

- The Chief Executive of the Institution has overarching responsibility for policy implementation relating to the development of all staff. Individual staffs however, should expect to take ownership of their own development and are actively encouraged to do so.
- Course Coordinators of different departments are responsible through the HIC overall planning process for formulating and implementing an annual plan for academic & non- academic staff of their respective departments.
- Staff development plans and priorities should be part of this plan. Individual development needs, which arise from structured appraisal meetings, are taken into account in this context.
- Staff with managerial responsibility for others will be expected to give active support to staff to help them identify their training needs. Managers should also establish appropriate mechanisms for meeting these needs and review with the individual the success of any development process.

POLICY REVIEW & AMENDMENTS

Annual Review

- This policy will be reviewed at least annually to ensure that it remains relevant, appropriate and in line with HIC aspirations and strategic plans.

Appendix A

SUMMARY OF THE HIC APPRAISAL PROCESS

