



## Staff Appraisal Policy

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| <b>Policy no:</b>                | <b>4.8</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
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| <b>Next review due</b>           | August 2026                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>External reference points</b> | <p>UK Quality Code June 2024</p> <p>Principal 3: Resourcing delivery of a high-quality learning experience</p> <p><i>d. Resources are allocated to ensure that staff receive ongoing professional development to support and enhance the delivery of a high-quality and innovative student learning and research experience.</i></p> <p>Principal 11: Teaching learning and assessment</p> <p><i>c. Staff involved in facilitating learning and supervising research are appropriately qualified and supported to enhance their teaching and supervisory practice.</i></p> |

| Version Control  |             |          |                                                                                                                                                                                                                                                                                                                                                                                  |
|------------------|-------------|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Previous Version | New Version | Date     | Update/Notes                                                                                                                                                                                                                                                                                                                                                                     |
| V1 (01/08/24)    | V2          | 01/08/25 | <p>Rewrote many sections to update them and added version control table on the cover page.</p> <p>Added points about any changes to Job Descriptions, which must be recommended by the line manager and HR Manager to the Senior Management Team for approval.</p> <p>Also, added a point the appraisee's may raise concerns or grievances after the appraisal if they wish.</p> |

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## **1. Introduction**

Trent Education Centre (TEC) sets out in the policy its approach to staff appraisals, the contents of the Appraisal Form, and the details of how appraisals are conducted. Staff appraisals are considered an important aspect of staff improvement and support. Through the annual appraisal process, staff reflect upon their own achievements and areas for development in collaboration with their line manager. They are then able to develop plans for personal and professional improvement that will help to ensure that they are able to have a rewarding and productive experience working at TEC. TEC's appraisal process is designed to encourage staff self-evaluation and improvement. It allows line managers to provide staff with feedback on their contribution and to suggest ways they can improve. It also allows staff and line managers to build a close professional working relationship.

## **2. Purpose and Scope**

The staff appraisal process helps to

- Conduct structured performance reviews to evaluate progress, highlight strengths, and pinpoint areas for improvement.
- Assess current development needs and anticipate future skill requirements, with strategies to support growth.
- Monitor career progression and determine readiness for promotion opportunities.
- Enhance job satisfaction and performance to boost overall efficiency and deliver a better experience for students.
- Establish shared expectations for staff roles, ensuring their contributions are recognised and aligned with the wider mission
- Foster a clear understanding of the organisation's goals and identify any obstacles hindering their achievement.

Staff appraisals are carried out for all full-time staff at the end of each year of their employment. All full-time staff, including full-time Tutors, will be appraised every year. In addition to staff appraisals, all Tutors including part-time Tutors undergo lesson observations and peer observations twice a year. Refer to the Observation of Teaching and Learning Policy for further information. Outcomes from lesson observations are used to inform aspects of the staff appraisal, particularly the recommendations Tutors receive. This policy remains under review and TEC may decide to carry out appraisal for part-time Tutors in addition to full time Tutors.

### 3. Benefits of Appraisals

Appraisals offer a formal opportunity for staff and managers to reflect on work content, volume, and achievements since the previous review period. They help establish clear objectives for the future while assessing performance, potential, and development needs.

Beyond individual growth, appraisals contribute to the overall improvement of staff performance across TEC. They enhance job satisfaction, communication, and mutual understanding, while fostering greater awareness, participation, planning, and coordination. These improvements support TEC in meeting its standards and delivering a high-quality learning experience to students. Appraisals also play a key role in preparing employees for future roles, particularly during periods of institutional growth.

### 4. Objectives

Appraisals aim to create a structured process for staff and line managers to jointly evaluate performance and plan ahead. Specifically, they are designed to:

- Identify strengths and weaknesses to enhance future job performance and maximise individual potential.
- Uncover obstacles that may hinder progress or lead to inefficient work practices.
- Promote ongoing dialogue between staff and managers, improving communication and providing clearer direction.
- Establish consistency through formal meetings focused on performance and potential.
- Support succession planning and assess readiness for promotion.
- Shift the organisational mindset from reactive responses to proactive preparation for change.

### 5. Staff appraisals include the following elements:

| What                                                                         | Who                                   |
|------------------------------------------------------------------------------|---------------------------------------|
| Agreeing a deadline for conducting each stage of the appraisal               | Appraiser and employee                |
| Completing the first part (A) of the appraisal form                          | The employee                          |
| Appraisal interview and completing the second part (B) of the appraisal form | Appraiser and employee                |
| Actions plan                                                                 | Agreed between Appraiser and employee |

## **6. The Procedure**

The staff member who is appraised is referred to as the Appraisee and their line manager who is appraising them is referred to as the Appraiser. They must both do the following:

### **6.1. Read the Policy**

Ensure that they have a copy of this policy and suggest that they read it.

### **6.2. Appraisee Completes Part 1 of the Appraisal Form**

Give the Appraisee enough time to complete the Appraisal Form, asking them to complete Part 1 and return it within 3-5 working days.

### **6.3. Appraisal Meeting**

Both parties agree upon a suitable time to meet once the Appraisee has returned the Appraisal Form to the Appraiser with Part 1 completed.

### **6.4. Appraiser Completes the Appraisal Form**

During the appraisal interview the Appraiser will complete Part 2 of the Appraisal Form including Tables 2 and 3 with the Development Plan. Dates are specified on the Development Plan and the Appraisee meets regularly throughout the year with the Appraiser to review the agreed objectives.

## **7. Preparation for Appraisal**

Completing the Preparation for Appraisal Form fully and frankly plays a vital role in shaping the appraisal interview. It allows both the Appraisee and Appraiser to reflect on job responsibilities, performance, and areas for development. The form provides a structured opportunity for the Appraisee to express their own view of their performance, even if their perspective differs from the Appraiser's. Since the format is the same for both parties, it ensures that the same topics will be addressed during the interview, encouraging mutual understanding and focused discussion.

When completed with honesty and detail, the form can help both individuals better understand each other's viewpoints and collaborate on resolving shared challenges. It may also influence the Appraiser's judgement by introducing new insights or prompting a reassessment of the Appraisee's performance overall or in specific areas.

**The appraisal process is designed to be developmental and supportive so it serves the appraisee best if they are fully open and frank about their views.**

## 8. How to Complete Part 1 of the Appraisal Form (See Appendix 1)

The Appraisee should complete Part 1 and submit it to the Appraiser before the meetings. The Appraiser may wish to point out how their job role has changed and perhaps differs from their job description. Both parties may wish to revisit, discuss and recommend updates to the job description. **Although, any changes Job Descriptions must be recommended by the line manager and HR Manager to the Senior Management Team for approval before they are implemented.**

The Appraisee is also able to comment on their successes, difficulties they have faced and support they have or have not had including any training. The Appraiser should refer to their progress against objectives in the Development Plan (Table 1).

## 9. The Appraisal Meeting

The appraisal interview should be a candid and collaborative conversation and not a tense or confusing encounter. Both the appraisee and appraiser should approach it with clarity and shared understanding of its goals. The discussion should serve several key purposes:

- Clarify the core responsibilities of the appraisee's role, ensuring mutual agreement on what the job truly entails.
- Evaluate the appraisee's overall performance by reflecting on how effectively they have fulfilled their role.
- Identify and build on strengths and exploring ways to may further self-development that supports TEC's success.
- Address areas for improvement by discussing any challenges and how they impact on the appraisee and the wider team, with a focus on solutions.
- Review and agree on the appraisee's performance in various aspects of their role.

## 10. Completion of Part 2 of the Appraisal Form

After reading Part 1 of the form completed by the Appraisee, the Appraiser meets the Appraisee and completes Part 2 of the form.

The Appraiser will first comment on the key points raised by the Appraisee in relation to their job responsibilities and achievements against objectives over the past months. The Appraiser should try to agree with the Appraisee about their successes and areas for improvement over the past 12 months. The Appraiser should also comment on the effectiveness of any organisational support that has been provided to the Appraisee in helping them to meet objectives.

After this Table 2 is completed where the appraisee's performance is assessed using a scale from 1 (unsatisfactory) to 5 (excellent) across a range of individual competencies. Both parties should also reach agreement on any training that might be recommended to support the appraisee's development and help them improve or enhance their performance.

Table 2 is the Development Plan for the next 12 months. This should include agreed objectives for the Appraisee to achieve. It also may include some support that the organisation needs to provide including training.

The Appraisal Form is signed showing that it has been seen and discussed. If the appraisee has any concerns at the end of the meeting, they may raise them with the appraiser's line manager and ask for another appraisal meeting. The appraisee's line manager will consider the request and either reflect or accept it. The appraisee may always follow the Staff Grievance Policy in the Staff Handbook if they continue to have concerns.

## **11.After the Meeting**

After the appraisal, there will be an opportunity for both parties to review and update targets in the Development Plan. Both parties should meet each other at least once (after 6 months) in order to monitor progress against the agreed objectives.

Through Appraisal Form (Parts 1 & 2), the Appraisal Meeting, and the Agreed Development Plan with monitoring meeting during the year, the current and future job performance of staff and the organisation can be improved.

## Appendix 1: Annual Staff Appraisal Form

### Annual Staff Appraisal Form

|                               |  |
|-------------------------------|--|
| Period covered (12 months)    |  |
| Appraisee's name              |  |
| Job title and place of work   |  |
| Appraiser's name and position |  |

### Part 1 Completed by the Appraisee

#### Self-Evaluation

|                                                                                                                                       |      |
|---------------------------------------------------------------------------------------------------------------------------------------|------|
| Your main responsibilities                                                                                                            |      |
| Your main achievements/successes over the past 12 months                                                                              |      |
| Any difficulty in achieving your objectives in Table 1 below (in meeting your responsibilities)                                       |      |
| Anything that could have been done to help in achieving the objectives in Table 1 below <b>(Not relevant for the first Appraisal)</b> |      |
| Training and Development undertaken during review period.                                                                             |      |
| Signature of Appraisee                                                                                                                | Date |

**Part 2 Completed by the Appraiser after reviewing Part 1 above**

**Areas for Discussion**

|                                                                 |  |      |
|-----------------------------------------------------------------|--|------|
| Any changes to the Appraisee's responsibilities                 |  |      |
| Comment on the Appraisee's successes                            |  |      |
| Comment on any areas for development                            |  |      |
| Comment on the organisational support provided to the Appraisee |  |      |
| Signature of Appraisee                                          |  | Date |
| Signature of Appraiser                                          |  | Date |

**Table 1: Completed by the Appraisee (Not relevant for the first Appraisal)**

| Objectives for the past 12 months |                           |             |                     |                                                                       |
|-----------------------------------|---------------------------|-------------|---------------------|-----------------------------------------------------------------------|
|                                   | Description of Objectives | Target Date | Implementation plan | <b>Performance</b><br>Satisfactory<br>Exceeds Standard<br>Outstanding |
| 1                                 |                           |             |                     |                                                                       |
| 2                                 |                           |             |                     |                                                                       |
| 3                                 |                           |             |                     |                                                                       |
| 4*                                |                           |             |                     |                                                                       |

\*Add more rows if required

**Table 2 To be completed by the Appraiser in discussion with the Appraisee**

**Staff Self-evaluation**

|   | <b>Individual Competencies</b>                         | <b>5<br/>Excellent</b> | <b>4<br/>Good</b> | <b>3<br/>Fair</b> | <b>2<br/>Satisfactory</b> | <b>1<br/>Unsatisfactory</b> |
|---|--------------------------------------------------------|------------------------|-------------------|-------------------|---------------------------|-----------------------------|
| 1 | Job knowledge & Productivity                           |                        |                   |                   |                           |                             |
| a | Competent in required job skills and knowledge         |                        |                   |                   |                           |                             |
| b | Exhibits ability to learn and apply new skills         |                        |                   |                   |                           |                             |
| c | Requires minimal supervision                           |                        |                   |                   |                           |                             |
| d | Uses resources effectively                             |                        |                   |                   |                           |                             |
|   |                                                        |                        |                   |                   |                           |                             |
| 2 | Initiative & Consistency                               |                        |                   |                   |                           |                             |
| a | Undertakes self-development activities                 |                        |                   |                   |                           |                             |
| b | Takes independent actions & decisions                  |                        |                   |                   |                           |                             |
| c | Looks for and takes advantage of opportunities         |                        |                   |                   |                           |                             |
| d | Asks for help when needed                              |                        |                   |                   |                           |                             |
| e | Volunteers readily                                     |                        |                   |                   |                           |                             |
| f | Identifies and corrects errors during the work process |                        |                   |                   |                           |                             |
|   |                                                        |                        |                   |                   |                           |                             |

|   | Individual Competencies                               | 5<br>Excellent | 4<br>Good | 3<br>Fair | 2<br>Satisfactory | 1<br>Unsatisfactory |
|---|-------------------------------------------------------|----------------|-----------|-----------|-------------------|---------------------|
|   |                                                       |                |           |           |                   |                     |
| 3 | Communication & Cooperation                           |                |           |           |                   |                     |
| a | Exhibits good listening and comprehension             |                |           |           |                   |                     |
| b | Keeps others adequately informed                      |                |           |           |                   |                     |
| c | Uses appropriate communication methods                |                |           |           |                   |                     |
| d | Establishes and maintains effective relations         |                |           |           |                   |                     |
| e | Displays positive outlook and pleasant manner         |                |           |           |                   |                     |
| f | Exhibits tact and consideration                       |                |           |           |                   |                     |
|   |                                                       |                |           |           |                   |                     |
| 4 | Teamwork                                              |                |           |           |                   |                     |
| a | Works well with supervisors, peers, and subordinates  |                |           |           |                   |                     |
| b | Communicates well with co-workers and supervisors.    |                |           |           |                   |                     |
| c | Promotes teamwork in the workplace.                   |                |           |           |                   |                     |
|   |                                                       |                |           |           |                   |                     |
| 5 | Policy Compliance                                     |                |           |           |                   |                     |
| a | Adheres to all policies                               |                |           |           |                   |                     |
| b | Keeps up to date on organisational policies           |                |           |           |                   |                     |
|   |                                                       |                |           |           |                   |                     |
| 6 | Client/Student Relations (if applicable)              |                |           |           |                   |                     |
| a | Establishes positive relations                        |                |           |           |                   |                     |
| b | Responsive and courteous to student/client inquiries. |                |           |           |                   |                     |
|   |                                                       |                |           |           |                   |                     |

|   | Individual Competencies                  | 5<br>Excellent | 4<br>Good | 3<br>Fair | 2<br>Satisfactory | 1<br>Unsatisfactory |
|---|------------------------------------------|----------------|-----------|-----------|-------------------|---------------------|
| 7 | Technical Skills (if applicable)         |                |           |           |                   |                     |
| a | Demonstrates required skills             |                |           |           |                   |                     |
| b | Adapts to new technologies               |                |           |           |                   |                     |
| c | Uses technology to increase productivity |                |           |           |                   |                     |
| d | Keeps technical skills up to date        |                |           |           |                   |                     |
|   |                                          |                |           |           |                   |                     |
| 8 | Punctuality & Attendance                 |                |           |           |                   |                     |
| a | Works to the approved schedule           |                |           |           |                   |                     |
| b | Informs of any absences                  |                |           |           |                   |                     |
|   |                                          |                |           |           |                   |                     |

**Table 3: Completed by the Appraisee with the Appraiser**

Set out some clear objectives for the next 12 months. These should be based upon discussions between the Appraisee and Appraiser, reviewing the Appraisee's successes and areas for development, and considering how their role might develop in the organisation going forward

**Annual Staff Development Plan**

| Objectives for the next 12 months |                           |                        |                     |                    |
|-----------------------------------|---------------------------|------------------------|---------------------|--------------------|
|                                   | Description of Objectives | Target Date            | Implementation plan | Monitoring updates |
| 1                                 |                           |                        |                     |                    |
| 2                                 |                           |                        |                     |                    |
| 3                                 |                           |                        |                     |                    |
| 4*                                |                           |                        |                     |                    |
|                                   |                           |                        |                     |                    |
| Appraisee's Name                  |                           | Signature of Appraisee |                     | Date               |
| Appraiser's Name                  |                           | Signature of Appraiser |                     | Date               |

\*Add more rows if required