



**UNIVERSITY OF
CAMBRIDGE**

Human Resources

Staff Review and Development Scheme

Guidance Booklet for all Staff

December 2008

The success of the University, today and in the future, rests ultimately on the efforts of its staff. The principles described in this booklet should enable institutions to keep in touch with the needs and welfare of all staff in a systematic way, to develop career progression plans and to identify obstacles to realising the individual's, and the institution's, full potential. I hope that you will find the principles in this guide useful in developing your own procedures.

Alison Richard
Vice-Chancellor

A. GENERAL INFORMATION

What is Staff Review & Development?

Staff Review and Development (SRD; a development of our appraisal procedures) is an essential part of the University's commitment to developing staff and to delivering a high quality service. Its purpose¹ is to enhance work effectiveness and facilitate career development; it involves discussing ways in which your work could be developed and ways in which any difficulties and obstacles to progress could be removed.

The University scheme provides a basic framework from which institutions develop their own SRD procedures. Therefore, you should refer to your institution's Staff Review and Development scheme for more detailed information.

Among other things, Staff Review and Development ensures that you are clear about your responsibilities and have a formal regular opportunity to discuss any help you may need in meeting them. All staff should be included in their institution's Staff Review and Development scheme and receive the appropriate training.

Through the process we aim to:

- provide an opportunity for positive and constructive two-way review of work progress
- allow agreement of an action plan
- provide for discussion of training needs for your current role and career development.
- allow for identification and discussion of difficulties or obstacles to your effectiveness
- provide a way of balancing your personal needs and ambitions with the University's overall objectives

This process does not replace good management practice, nor is it used as a disciplinary tool or a means of determining pay. The details of the review discussion remain confidential between yourself and your reviewer (and your Head of Institution, if specified in your institution's scheme), unless you choose otherwise.

¹ See Appendix 1 for further details

How is Staff Review and Development carried out?

There are three key stages in the Staff Review and Development process²:

- 1. Preparation** (taking stock, looking ahead)
- 2. Discussion** (through a formal, regular review meeting)
- 3. Recording** (noting the agreed actions and objectives)

Who will carry out my review?

Your reviewer is specified in your institution's scheme and will normally be your Head of Institution or his/her nominated representative, for example your line manager/supervisor or principal investigator or a senior member of your institution. If are unhappy with the person suggested, you should raise the matter with your Head of Institution.

How often will it take place?

If you are newly appointed, you should expect to be reviewed after completion of your probationary period. Thereafter, you should expect to have a review at least every two years, although you can ask for an annual review if you wish.

In addition, there may be follow-up meetings to review progress half way through the review period.

How can I find out more information?

If you are newly appointed, you will be given a copy of your institution's scheme as part of the induction process in your institution. If you need a copy later on, please ask your institution's administrator.

Who can I contact for advice?

You should speak to your institution's administrator in the first instance if you have any queries about the operation of your institution's scheme. The University SRD Scheme is co-ordinated by the Human Resources Division; your HR Business Manager or staff in the Centre for Personal and Professional Development will be happy to answer any queries on the operation of the Scheme or training opportunities.

² See Appendix 2 for a more detailed summary

B. FREQUENTLY ASKED QUESTIONS ABOUT THE REVIEW PROCESS

How should I prepare for my review?

You will need to collect together the documentation to bring to the meeting, which will be specified by your reviewer. This may include your job description/role profile, CV, prepared list of tasks/key activities (including indicating the balance of time and effort for each), your last review form, any training records you may have, project proposals and plans.

As part of your preparation, you should:

- Take stock of your progress against personal and professional plans, eg achievements and responsibilities, since your last review (or your appointment, if you've not been through the review process before).
- Think about your successes and difficulties and consider what lessons you can learn for the future.
- Look ahead to the coming review period and outline your key personal and professional plans. Think about what might hamper their achievement and about any training and development needs you have, now or longer-term.

You may find it helpful to draft a list of points for your discussion and pass it to your reviewer, who will also be preparing by reviewing your progress, well before the meeting date. He/she may then add any further points for discussion and return the list to you, before the meeting date. Alternatively, you may use your self-assessment as a reminder at the meeting.

What should I expect at the meeting?

During the review meeting you will be discussing with your reviewer (or reviewers) your progress over the review period and your training and development needs before agreeing an action plan for the future, taking into account your institution's and the University's objectives. The discussion and/or the decisions are then recorded and you will be given an opportunity to add your comments. The formal framework for the meeting and the arrangements for recording the discussion will be in accordance with your institution's scheme.

This meeting may take place within the institution or away from the office. Wherever it takes place, the arrangements should ensure that the discussion is uninterrupted and confidential. You should plan for the meeting taking at least an hour.

The details of your discussion remain confidential to you and your reviewer after the meeting and your Head of Institution or his/her nominated representative who signs the record of your review. With your agreement, details of formal training needs will be sent to your institution's staff development liaison officer or direct to CPPD for appropriate action to be taken in terms of reviewing appropriate training provisions for you.

What happens to the records afterwards?

You will be given a copy of the documents. The original copy will be retained in a locked cabinet in your institution, to be accessed only by your head of institution and your reviewer.

The action plan can be used by yourself and your reviewer to monitor your progress during the review period, and will be used as a starting point for the preparation stage of the next review. It can also provide a useful record if you need to draw up a CV and can act as a reminder of your training and development activity.

Your head of institution may feedback to staff in summary what issues have emerged as a result of the SRD process and what steps are being taken to address these issues.

How will I benefit from this process?

Surveys carried out on the appraisal/review process have identified the following benefits for the institutions and individuals involved:

- improved communications
- a formal opportunity to review progress and plan for future activity and development
- clarification of roles, responsibilities, aims and priorities
- a formal record of experience and learning over time to complement a CV or Continuing Professional Development (CPD) activity
- an opportunity to draw on the ideas of all staff and for organisational learning
- more open styles of management and leadership
- better targeting and planning for training and development on an institution-wide or University basis
- enhanced overall performance through more effective and motivated staff.

Also, they have found that the more the participants put into the process, the more they get out of it!

As an employer we believe that the benefits of an effective scheme include:

- an overall contribution in forwarding our equal opportunities policy;
- improved communications and cohesion between different staff groups within institutions and
- enhanced overall performance through the consideration of individual, institutional and University objectives.

If I am asked to review staff, what should I do?

You should prepare by attending the training course for reviewers organised by CPPD and by attending any meetings of reviewers organised in your institution. You should also obtain a copy of your institution's scheme from your Head of Institution or institution's administrator and make sure that you have information on the University's overall and your institution's specific objectives for the future.

For each member of staff you will be reviewing, you should decide what preparatory documents you need to ask him/her to provide. These may be specified in your institution's scheme and may include job description/role profile, CV, prepared list of tasks/key activities (including indicating the balance of time and effort for each), the last review form, training records you may have, project proposals and plans.

You should then carry out a review of progress for each member of staff concerned (detailed in the paragraph above on preparing for a review) and invite each member of staff you will be reviewing to a meeting. You need to make sure records of the discussion and the agreed action plan (taking into account the individual's, institution's and University's objectives in the future) are completed afterwards and that action is taken on training and development needs, including (with the member of staff's permission) passing relevant details to your CPPD Liaison Officer or direct to CPPD. You should also pass information to your Head of Institution on any common training and development needs or generic institutional issues you identified through the reviews of your staff. Your head of institution may then feedback to staff in summary what issues have emerged and what steps are being taken to address these issues.

Purposes of Staff Review and Development

The University SRD scheme is designed to incorporate and extend the objectives set out in the CVCP/AUT agreement of 1987 and the subsequent agreements between the CVCP and MSF and Unison. It is intended to:

- Provide an opportunity for reviewing in a positive and constructive way the work of an individual member of staff and how this has been carried out.
- Ensure that the individual's contribution to the institution is recognised and to agree specific objectives for the forthcoming review period.
- Provide a means of balancing the ambitions and personal needs of the individual with the overall objectives of the institution and university as a whole.
- Provide opportunities for the discussion of training needs for the current role and any development for future career opportunities.
- Allow for the identification and discussion of difficulties or obstacles which hamper effectiveness.

Appendix 2

STAGES IN THE STAFF REVIEW AND DEVELOPMENT PROCESS

Stage	Content	Process
STAGE ONE: PREPARATION		
<p>a) Planning Preparing for the discussion</p>	<p>A confidential review of the previous period and planning for the next period of review.</p>	<p>The member of staff concerned completes a preparatory review of progress. The reviewer plans for the discussion by completing a similar review of the member of staff's progress. Also, the reviewer specifies what documents the member of staff needs to bring to the review meeting and gathers together information on the University's and institution's objectives.</p>
<p>b) Agenda Setting the agenda for the meeting</p>	<p>Both the reviewer and member of staff list what they would like to discuss at the meeting</p>	<p>The member of staff identifies issues that he or she would like to discuss with the reviewer and lists them. This list may be passed to the reviewer to add additional items that he/she would like to raise, photocopy and return it to the member of staff.</p>
STAGE TWO: DISCUSSION		
<p>A review meeting takes place.</p>	<p>Reviewer and member of staff discuss member of staff's progress over the review period, training and development needs and agree on action plan for the future.</p>	<ol style="list-style-type: none"> 1) The formal framework for the meeting is in accordance with the institution's scheme. 2) A constructive, two-way open discussion takes place. 3) Actions resulting from the review are agreed, to be recorded after the meeting.
STAGE THREE: RECORDING		
<p>a) Outcomes Recording the decisions and outcomes from the meeting</p>	<p>The discussion and/or the decisions are recorded, including action plans and training needs. These remain confidential to the member of staff concerned and reviewer and the Head of Institution.</p>	<ol style="list-style-type: none"> 1) The documents may be completed by either party so long as it is seen and signed by both. They must be signed by the Head of Institution (or his/her nominated representative if the Head is not the reviewer). 2) Both the member of staff and the reviewer are given copies of the completed documents. 3) CPPD may be given a copy of the individual statement of agreed training and development outcomes, if this has been agreed with the member of staff.
<p>There are additional processes which may take place at institutional level:</p>		
<p>b) Summary Listing and analysing the overall institutional needs</p>	<p>Reviewers draw together the issues identified in individual reviews.</p>	<p>Each reviewer produces a summary of the generic issues identified in the review he or she has completed, and passes them to the Head of Institution or his/her nominated representative, with suggestions for overcoming them. (This summary must be anonymous and must not refer explicitly or implicitly to any members of staff.)</p>
<p>c) Institutional response Producing an institutional summary</p>	<p>The Head of Institution confirms that the process is completed and identifies any training needs needing central action.</p>	<p>Head or designated person co-ordinates all reviewer summaries to produce an overall institutional summary. This may be discussed at a meeting of all reviewers and fed back to staff generally to let them know in summary what issues have emerged and what steps are being taken to address them. CPPD may be informed of some generic training needs so that it can assist in meeting them and also so that they can plan future University training activity appropriately.</p>