

Annual Appraisal

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This version has been updated for clarity and removes the detailed process element of the previous version. Major changes/additions since the last version was approved are indicated by a vertical line in the left hand margin.

1 Introduction

1.1 Purpose

- a To provide a formal process for all staff to assess and evaluate their performance in the context of the stated values and strategic goals of Ara.
- b To provide a formal process for managers to assess and evaluate staff performance and to provide the support to staff required to align individual performance with organisational goals.
- c To provide a formal process that enables Ara to align individual performance with divisional and organisational goals.

1.2 Scope and Application

This policy requires that all applicable staff are appraised formally, and as a minimum annually, by their Manager or delegate. It is expected that this annual appraisal forms part of a broader process of managing employee performance. (Ara Council appraises the Chief Executive, using a process consistent with this policy.)

1.3 Formal Delegations

Refer to the Human Resources Delegations Schedule.

1.4 Definitions

- a **Annual Appraisal:** the annual appraisal of staff at Ara that is described in this policy.
- b **Appraiser:** the person, usually a staff member's manager, with the delegation to undertake appraisal of another employee and is undertaking that activity.
- c **Appraisee:** the person whose work performance is being appraised.
- d **Appraisal Form:** the standard form (allied or academic) on which the appraisal is recorded.
- e **Appraisal Interview:** the interview at which the appraisee presents their self-reflections, the appraiser gives constructive feedback and the two work together to produce a final appraisal form which both can agree to sign.

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- f **CE:** Chief Executive.
- g **Constructive Feedback:** feedback that is specific and worded in such a way as to create maximum potential for constructive outcomes. It is based on behaviour and performance, not personality.
- h **Competence:** for the purposes of the annual appraisal, competence is defined as 'doing the job a staff member is employed to do, with key tasks and responsibilities fulfilled adequately and appropriately, and with good working relationships maintained'.
- i **Manager:** the line manager of the appraisee.

Related Ara Procedures (Infoweb) <ul style="list-style-type: none"> • Employment Agreements • Appraisal Form • Academic Promotion • Performance Recognition 	Related Ara Policies <ul style="list-style-type: none"> • CPP114 Records and Archives • CPP204 Equal Employment Opportunities • CPP208 Resolving Staff Performance or Conduct Issues • CPP211 Code of Professional Practice • CPP214 Human Resources Management • CPP217 Professional Development
Related Legislation or Other Documentation (Infoweb) <ul style="list-style-type: none"> • NZQA Quality Assurance Framework • Appraisal Philosophy and Principles, 2008, agreed to with Staff Associations 	Good Practice Guidelines (Infoweb) <ul style="list-style-type: none"> • Ara Good Teaching Practice • Capability Frameworks
References <ul style="list-style-type: none"> • 	
Notes	

2 Principles

- 2.1 Appraisal builds individual and institutional capability by enabling a manager and a staff member to evaluate the staff member's performance against key tasks and responsibilities, departmental goals and organisational goals over the previous 12 months and plan for the coming 12 months.
- 2.2 Annual appraisal forms part of a broader process of managing staff performance at Ara.
- 2.3 While appraisal is a summative process, it will be conducted with a formative and constructive focus and will inform Professional Development planning.
- 2.4 Appraisal is a separate process from those of promotion/salary review, although information from an appraisal is used to inform promotion/salary review evaluations.
- 2.5 Appraisal provides a process where a staff member will reflect on their own performance, evaluate their decisions and the outcomes, and consider what they may do differently to improve future outcomes. Ara management can reflect on, identify and address any factors that have an impact in how the staff member performs that are outside the staff member's control.
- 2.6 Performance issues will be raised as they occur, not left until an appraisal.

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3 Associated procedures for Ara Corporate Policy on: Annual Appraisal

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3.1 General

- a Staff who must have an annual performance appraisal:
 - i all tenured (permanent) staff (including permanent part time).
 - ii long term fixed term (12 months or more) - proportional and full time staff.
 - iii fixed term part time staff who have had employment in two consecutive calendar years must be appraised in their third year.
- b During an annual appraisal a manager will:
 - i provide feedback in a constructive way to the staff member being appraised on work performance and achievements.
 - ii support ongoing personal and professional development via a relevant and appropriate professional development plan.
 - iii identify and, as far as possible, remove barriers to good performance.
 - iv work with the staff member to set realistic and achievable goals for the coming year that align with organisational goals and aspirations.
- c During an appraisal a staff member will:
 - i participate openly and willingly in the appraisal process.
 - ii complete any agreed personal and professional development.
 - iii assist in the identification of, and as far as possible, removal of barriers to good performance.
 - iv take all reasonable steps to achieve set goals and, where achievement is not possible, communicate that early to management.
- d The development and updating of appraisal processes and related templates are the responsibility of Human Resources.

3.2 Process Overview

- a There will be at least one formal meeting, held annually, that will be considered to be the annual formal appraisal meeting.

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- b The manager will arrange a suitable time and place for the annual appraisal meeting and will give the staff member adequate notice to allow them to prepare for the meeting.
- c The staff member will complete the relevant sections of the appraisal form, including making reference to the Kaupapa where relevant, and will forward this to the manager prior to the meeting.
- d The manager will gather all relevant feedback and documentation in preparation for the meeting and will consider the staff member's updated appraisal form prior to the meeting.
- e The staff member and manager will discuss the remaining sections of the form during the meeting and agree the appropriate content.
- f Either the staff member or the manager will update the document following the meeting and all parties will sign their agreement of the final document where indicated on the form. Neither party should indicate agreement where this is not the case.
- g Where agreement is not reached the appropriate process will be followed as outlined in the Human Resources Annual Appraisal Handbook in the section entitled "Failure to Reach Agreement".
- h The document will be managed in accordance with section 3.9 of this policy. It may be helpful to refer to the appraisal form frequently throughout the year to ensure that the goals and professional development plans are both on track and still relevant.

3.3 Who are the Appraisers?

In the normal course of events staff members will be appraised by their line manager. Where a staff member reports to more than one person the decision will be made by consultation among all those involved, and approved by the Division Director, subject to the provisions outlined below.

- a There is a limit to the number of people any one manager can appraise effectively. Preferably a manager should not appraise more than ten staff.
- b If a staff member has a particular reason for not being appraised by the manager who would in the normal course of events be the appraiser, he or she may make a case to the Division Director for a different person to conduct the appraisal. The reason may be work related or external to the Institute. The decision as to who will be the appraiser is then made by the Directors.
- c Appraisers must notify the next level manager if they are scheduled to appraise a close family member or friend or any other conflict of interest. The manager will determine if this is appropriate and may put in place checks and balances to ensure the appraisal is fair and appropriate.
- d The Institute is committed to a philosophy of professionalism. Staff are expected to maintain professional working relationships that supersede "personality conflicts". Personality conflict, therefore, is not automatically a sufficient reason for an alternative appraiser. The Division Director will not unreasonably refuse an appropriate alternative when a defensible reason for the change is presented.
- e The Division Director or delegate will develop an appraisal structure (referred to as the "appraisal tree") that:
 - i is consistent with the provisions set out in these procedures.

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- ii shows clearly who appraises whom.
- iii is available to all staff in that Division.

3.4 Training

- a Human Resources is responsible for providing training on Ara process and practice for effective appraisal.
- b Staff/managers must receive training and/or demonstrate effective appraisal skills before appraising others.
- c Staff new to the annual appraisal must attend training before their first appraisal.
- d It is the responsibility of the appraiser's Manager to ensure that staff are provided with the opportunity to attend training appropriate to their role of appraisee and/or appraiser prior to appraisal occurring.

3.5 Relationship Between Appraisal and Performance Management

- a The annual performance appraisal process is one component of performance management and, where the employee is doing their job competently or better, may often provide the only documented evidence of their performance and achievements during the year.
- b Where a staff member's performance has not met the standard required, the manager will formalise the issues and appropriate processes for improvement will be documented, actioned and reviewed following standard Ara performance management processes.
- c Where there are issues of serious concern the appraising Manager will refer to the "CPP208 Resolving Staff Performance or Conduct Issues" policy to determine the appropriate process for action.
- d Only performance issues that have been previously raised during the year will be discussed/documentated during the appraisal process.

3.6 Relationship Between Appraisal and Probation

Staff members move into the annual appraisal process on completion of probation, with their first appraisal due a year after their end-of-probation report unless an alternative arrangement has been made.

3.7 Relationship between Appraisal and Promotion/Performance Recognition

In a year when a staff member applies for promotion, evaluations or feedback gathered for promotion are not repeated for appraisal. In such cases, the focus of the appraisal interview is professional development planning, any factors outside the staff members' control that affect performance, and any other relevant matters the staff member and the appraiser agree to discuss.

3.8 Relationship between Appraisal and the Academic Staff Capability Framework

The Academic Staff Capability Framework is a self-assessment tool designed to support and encourage professional development through quality professional conversations. It works

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alongside Human Resources processes such as appraisal, informing these and making it easier to record and assess achievements, skills and needs.

3.9 Management of Appraisal Records

- a The management of the completed appraisal documentation held by the Director/CE (electronic and/or paper based) will be in accordance with the *"CPP114 Records and Archives"* policy.
- b Appraisals included in applications for promotion and performance recognition are managed by the Human Resources Division in accordance with the *"CPP114 Records and Archives"* policy.
- c The staff member is responsible for the management of their copy.
- d Appraisal records for academic staff, including information on standard procedures such as Quality of Teaching evaluations, will be made available to accreditation panels and internal/external auditors as requested. No information contained in the staff appraisal documents will be disclosed to other external parties. The viewing of this information will be used solely for the purpose of confirming Ara compliance with its own Quality Management System and with accreditation and audit standards. Any concerns pertaining to this requirement should be directed to the Privacy Officer.

3.10 Monitoring

Human Resources has a monitoring role to ensure that this policy is applied consistently and fairly, and therefore will conduct audits, from time to time, to check that appraisals have been conducted in accordance with this policy.