Academic review and development

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Purpose	Outlines the procedure to manage the annual performance and development review for academic employees.

Version number	Purpose / changes	Document status	Author of changes, role and school / unit	Date
2.1	Change to review date	Published.	Lisa Stewart HR	20/12/2021

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1. Purpose

1.1 The Academic Review and Development Scheme (ARDS) covers all academic staff and consists of the exchange of a written form and an annual meeting between the Reviewer and the Reviewee. The purpose is to support employees to realise their full potential by reviewing progress, discussing future plans and development needs, and setting specific objectives.

1.2 More specifically, the ARDS meetings provide an opportunity for staff to highlight their achievements, identify areas for improvements, raise issues or potential barriers to achieving objectives, and discuss how the School could provide support to the staff member to reach their professional/personal goals including workload balance, promotion preparation and timing, research leave and other developmental activities.

1.3 Staff are encouraged to reflect on how their work has been carried out, for instance in terms of collegiality, values and broader contributions to the School and University, not just on types and amount of achievements, and consider how their work has supported the strategic aims of the School and University.

1.4 Frequently asked questions regarding the ARDS process can be read in Appendix B (reviewer) and Appendix C (reviewee).

2. Scope

2.1 All academic staff ('teaching and research', 'education-focused' and 'research' staff) are expected to engage in the annual ARDS process.

3. Procedures

3.1 When does the ARDS process commence?

3.1.1 The review meetings will take place annually, within the defined periods (Jan/June or June/Dec). Schools will declare when the ARDS are taking place and Human Resources (HR) will check annually to ensure these have been undertaken.

3.1.2 The Reviewer and Reviewee are expected to review and discuss performance and actions against set objectives throughout the year and should not wait until the annual review meeting to raise performance concerns, provide feedback and recognise potential/good performance. **These matters must be managed promptly by the line manager (or appropriate other).** Where concerns exist, advice should be sought from an HR Business Partner (HRBP).

3.2 New starts procedure

3.2.1 Reviewers should meet with new starts within **one month of their start date** to discuss and agree on objectives for the review period. Objectives should:

- take account of stage of career at appointment;
- consider the expectations of the position and the relevant academic discipline;
- be SMART (specific, measurable, agreed, realistic, timely).

3.2.2 For 'teaching and research' and 'education-focused' staff, objectives set should look forward overall to the first **4 years of employment** with specific emphasis on the first year.

3.2.3   For research staff, objectives should look forward overall to the first **15 months of employment**, with specific emphasis on the first year (or to the end of their fixed-term contract, if less than 15 months).

3.2.4   Support for new colleagues is very important and the University's mentoring scheme fulfils a key role in this respect. The role of mentor is not a managerial one and provides guidance, support, encouragement and feedback to the new employee.

3.2.5   If there are concerns regarding the performance of new starts, advice should be sought from an HRBP.

3.3   Reviewee's responsibilities

3.3.1   The Reviewee should use the ARDS meetings to focus on their performance, areas for development, aims and ambitions, questions and concerns. It is essential that the Reviewee prepares for the meeting by reviewing objectives and being honest about what is going well, what is going less well, and where things could benefit from any change and additional support.

3.3.2   The Reviewee should reflect on the time since their last ARDS meeting, and on how things have gone since then. It is important to review progress against any performance or development objectives or actions that were agreed previously and how far they have been met. Understanding why intended things have or have not happened will be central to making more progress in future.

3.3.3   It is the responsibility of all Reviewees to keep information in PURE up-to-date and accurate (where relevant).

3.3.4   The Reviewee should complete, as much as possible, sections **A to G** of the ARDS form (Appendix A) and return it to the Reviewer at least 2 working days prior to review meeting.

3.3.5   The Reviewee should be provided with at least 10 working days' notice of the meeting taking place.

3.4   Reviewer responsibilities

3.4.1   The ARDS meeting will normally be undertaken by the line manager, although Schools may offer alternative Reviewers as designated by the Head of School.

3.4.2   The Reviewer is responsible for setting up and conducting the ARDS meeting, ensuring that it enables a focused discussion on core issues relating to the Reviewee's work, aspirations, issues and setting future objectives, and where appropriate discussing concerns.

3.4.3   At least 10 working days' notice of the meeting should be provided to the staff member to allow adequate time to complete the form fully. The completed form should be returned to the Reviewer at least 2 working days prior to the meeting taking place.

3.4.4   Once the meeting has taken place, the Reviewer must complete section **H** summarising the discussion and the agreed set of future objectives. After the meeting, the reviewee will be sent a copy of the form with this final section completed. Once the form is completed, both the Reviewer and Reviewee must sign and date the form to confirm that it is an accurate reflection of the conversation that took place at the review meeting.

3.5   Human Resources responsibilities

3.5.1   HR will, on an annual basis, contact the Head of School regarding the process and will arrange to meet with them, along with OSDS, before it is launched in their School and after, to provide advice and support.

3.5.2   HR will also ensure timely completion of the process and will liaise with the Master if there are issues of non-compliance.

3.5.3   Should any employee feel that they need support or advice outside their School, they can speak to their HR Business Partner about any issues that arise during the course of their employment.

3.6   Part-time and fixed-term appointments

3.6.1   While the length of the review will remain the same for part-time appointments, the objectives agreed should recognise the part-time nature of the employment. Any change to the objectives should not imply a reduction in the quality of performance required.

3.6.2   The review period applies to both open-ended and fixed term appointments to ensure that progress and performance of fixed-term employees are assessed against the same standards and expectations which apply to those on open-ended contracts.

3.7   Storing ARDS documents

3.7.1   In line with GDPR (General Data Protection Regulations), completed forms and any accompanying data will be kept securely within the School, accessible to relevant individuals only.

4.   Version control

4.1   This policy will be reviewed regularly. Any feedback on the policy content should be directed in the first instance to the HRBP team, who will consider this as part of the review.

4.2   This policy is not contractual and may be amended by the University from time to time.

Version number	Purpose / changes	Document status	Author of changes, role and school / unit	Date
1.0	Policy migrating to the Governance Zone.	Published	Lisa Stewart, Human Resources	03/07/2019
2.0	Change to ARDS form and minor changes to wording & formatting and new FAQ section (Appendix B & C).	Published	Lisa Stewart HR	16/12/2020
2.1	Change to review date	Published.	Lisa Stewart HR	20/12/2021

Appendix A: Academic review and development (ARDS) form

A word version of this form can be downloaded from the <u>HR Policy webpage</u>.

Reviewee name:		**Review date**:	
Reviewer name(s):		**Previous review date**:	

Guide to filling in the form

Employees should refer to the <u>ARDS policy</u> prior to completion of this form. Further guidance can be found on the <u>ARDS webpage</u> which includes FAQs for the reviewer and reviewee.

The form is intended to be 'light touch', so please keep the content succinct. The content of the form is complemented by material available on PURE and in the School's workload model output.

It is recognised that staff will differ in their goals, priorities and achievements during the previous year. Therefore, input for some sections of the ARDS form may be brief, and not all sections will be relevant to all respondents. The ARDS form is designed as a framework around which a conversation can be structured.

The ARD form is designed for use within the School and is not routinely passed to other sections of the University. Schools are expected to maintain records of the percentage of staff that complete their annual ARD meetings and ensure that all groups of staff are engaging equally in the process.

Staff may find it useful to discuss their ARDS form with a mentor prior to the ARD meeting. Information about the University's 'Teaching Research & Academic Mentoring Scheme' can be found here: <u>https://www.st-andrews.ac.uk/osds/my-development/mentoring-coaching/mentoring/research-staff-mentoring/</u>

Reviewees are expected to complete Sections A to G of the form. Section H provides the Reviewer with the opportunity to summarise the discussions and confirm the agreed set of future objectives. After the meeting, the Reviewee will be sent a copy of the form with this final section completed. **Please note that you do not need to reach the maximum word limit on the form.**

Relevant links

Code of Practice for the Employment and Management of Research Staff:
<u>http://www.st-andrews.ac.uk/staff/policy/hr/codeofpracticefortheemploymentandmanagement/</u>

A. Overview, reflection and future plans

1. Main activities and achievements in the past year (max. 800 characters including spaces)

Briefly list your main activities and achievements in your role in the past year, such as key objectives that have been met, tasks or projects that have been completed, and professional development that has been undertaken.

2. Reflection on successes and limits to success (max. 800 characters including spaces)

Briefly state what areas of your work have provided you with the most and the least satisfaction in the past year and consider whether any issues or barriers have arisen that have prevented you from achieving your goals.

3. Future goals and objectives (max. 1000 characters including spaces)

List your main future goals for the coming year and describe the specific objectives that you have set yourself to achieve these goals. It might be useful to consider whether the objectives are SMART (i.e., Specific, Measurable, Achievable, Realistic and Time-bound).

4. Development needs and support (max. 800 characters including spaces)

State whether any development programmes or training might help you achieve your goals. Raise any ideas for support that could be provided by the School or by the University.

B. Research, scholarship and impact (include information from PURE)

5. Research and scholarship activities since last review

Briefly list (using bullet points) your achievements in research and scholarship in the past year using the following headings.

(a) List of publications (including pedagogical outputs) since last review and submitted/planned outputs

    i) Published

    ii) Submitted or in preparation

(b) List of current grant funding, applications made, and applications planned

    i) Current funding

    ii) Submitted or planned applications

(c) List of current PhD/MSc by Research students

(d) Awards, including nominations, professional development certificates, and key academic talks

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6. Impact, knowledge exchange and outreach activities (max. 1000 characters including spaces)

Briefly list any impact, knowledge exchange and outreach activities that you have undertaken in the past year, including any internal or external funding that has been sought and/or awarded.

C. Teaching

7. Teaching activities since the last review (max. 1000 characters including spaces)

Briefly summarise your main teaching duties and highlight any substantial changes to your teaching activity in the last year. How you have found those changes and are there any changes you would like to see. Are there any areas where you would appreciate more support or training?

8. Good practice and future ideas (max. 800 characters including spaces)

Highlight examples of good practice and/or positive student feedback. Comments on how you achieved this success and any ideas for the future, including curriculum design. Indicate how you are responding to student feedback.

D. Service and leadership

9. *Briefly list (using bullet points) your contributions to the School, University and the wider community in terms of service and leadership. Include examples of your contributions to creating a positive environment within your academic community, e.g., by promoting equality and inclusion, peer support or mentoring.*

a) School-level (e.g., administration roles, organisation of research-related or other activities)

b) University-level (e.g., committees, policy development, mentoring, contributing to training courses)

c) Wider academic community (e.g., conference organisation, external examiner, editorships)

E. Innovation and Enterprise in your role

10. *Use this section to highlight any areas where you have made innovations or have been enterprising in your role or as part of the wider School/University. If there are areas of the roles you undertake that could stop, due to increased efficiency or innovation in other areas, please highlight these along with the impact and rationale (max 1200 words).*

F. Professional development and career progression

11. *Raise any items that have not yet been covered. Describe any plans for career progression, e.g., new skills that you would like to learn or new roles that you would like to undertake, and any plans for applying for promotion and/or advancing to your next career stage (max. 800 characters including spaces).*

G. Mentoring

12. *Do you have the mentorship you require? Is this a formal mentoring arrangement (please specify which one), or an informal setup? Is this working well for you? If you do not have a mentor, would you like one?* (max. 200 characters including spaces)

Have you acted as a mentor? Please comment on your contribution to mentoring of other colleagues either informally or as part of a centrally coordinated mentoring programme.

If you have not acted as a mentor, are you interested in becoming a mentor on one of the relevant University programmes?

H. To be completed by the reviewer following the meeting

13. *Document any themes that arose during the meeting, and what key objectives were planned for the coming year. Describe any ideas for support that were discussed, and any agreements that were reached.*

I. Sign off

If you are not satisfied that the comments noted on this form are an accurate reflection of the conversation that took place, please note the areas of concern here and then return the form to your reviewer for further discussion, otherwise please sign below and return to the reviewer:
By signing this form, the reviewer and reviewee are confirming that it is an accurate reflection of the conversation that took place during the review meeting.

Reviewer signature:	*Date:*
Reviewee signature:	*Date:*

Appendix B: Frequently Asked Questions for the Reviewer

1) **How long should I give the Reviewee to submit their completed form in advance of the meeting?**
At least 10 working days' notice must be provided in advance of the meeting. The completed form should be returned to you at least 2 working days prior to the meeting.

2) **How soon must I complete the ARDS form for the Reviewee to see after the meeting?**
You should aim to complete and return the ARDS documentation to the Reviewee within 10 working days.

3) **What should I do if my Reviewee does not want me to be their Reviewer?**
You should attempt to explore the reasons why this is the case although this may not always be possible. If you are not able to resolve the issue, or allay any concerns, you should consider if there is an alternative from within the School who could undertake this role. You should seek advice from your HR Business Partner where such an issue is raised.

4) **What do I do if an employee refuses to participate in the ARDS process?**
The ARDS meetings are mandatory. If a person raises concerns, you should attempt to discuss these and alleviate the concerns. If necessary, this should be discussed with the Head of School or other senior academic to consider what alternatives might be put in place. Where an individual continues to refuse to attend an ARDS meeting, advice should be sought from your HR Business Partner.

5) **Can I consult with colleagues when preparing for a review?**
Yes. For most academic roles it will be necessary to discuss future objectives and past performance with key individuals such as the Director of Teaching and Director of Research.

6) **What must I do if my Reviewee does not agree with the content of the review?**
The aim in all ARDS is to reach agreement between you and your Reviewee on what has happened prior to the review and to plan for the future. In rare cases, where this is not possible, both you and the Reviewee, should discuss the issues being raised to seek a way forward during the discussion. If, this is not possible, the ARDS form should reflect this disagreement but record that this is an accurate record of the discussion that took place.

7) **Who is responsible for following up on learning and development actions identified?**
Both parties are responsible for ensuring that the actions identified during the ARDS are followed up. Specific responsibility for actions should be noted on the form, so there is clarity about who is doing what.

8) **What are suitable objectives?**
Any objectives that you set and agree should be SMART (specific, measurable, agreed, realistic and timely). They should contribute to both your local strategic plan and (not necessarily directly) to the wider University's strategic aims and objectives.

9) **What do I do if it's impossible to set suitable objectives that can be completed within a 12-month reporting period?**
Objectives do not need to be limited to a one-year period. If an objective is for more than one year, both you and your Reviewee should agree key milestones during the review period. This will provide evidence of progression to a longer-term objective. Where appropriate research objectives will be set over a three-year period.

10) **What should I do if my Reviewees are not meeting their previously set objectives?**
You should explore the possible reason(s) for not meeting their previously agreed objectives and ask whether there is anything that you can do as a Reviewer to assist. This might include discussion about whether the objectives set were SMART.

11) **Can the ARDS process be used as part of, or in place of a disciplinary procedure?**
No. The ARDS process is not part of the University's formal or informal capability or disciplinary procedure. Issues regarding performance can be raised during the ARDS process to discuss how performance can be developed, but the ARDS meetings should not be the first time that you become aware of performance issues. Should performance continue to fall short of expectation, recourse to the capability or disciplinary process should be undertaken. Your local HRBP can advise on the application of these procedures.

12) **What should I do if the ARDS process surfaces a serious issue such as wellbeing or performance?**
The purpose of the ARDS process is to provide a process for two-way communication, where the employee can signal areas that are going well and those that are causing difficulty. As the Reviewer, you should ensure that the positives are recognised but where issues are flagged, discuss how these might be overcome. If health or wellbeing is raised as an issue, you should indicate that you would like to be able to provide relevant support and one way of doing this is via a referral to Occupational Health. Clarify that this is confidential, and the purpose is to ascertain what can be done to support the individual. If performance is an issue, and this is not linked to health or wellbeing, then you should set clear objectives for review and confirm that you would like to meet again in 3 months (or alternative suitable time period) to see how things are progressing. Where there is a repeated issue regarding performance, or a person is simply not engaging, even after offering support, you should inform them that you are going to take advice from Human Resources on next steps.

13) **Do I undertake a review if someone is on Research Leave/Absent from Work or on Long Term Sick?**
While ideally the review takes place face to face, if an individual is on Research Leave, you should arrange to undertake the review, via teams, as it provides an opportunity to discuss progress and plan future objectives.

If an individual is absent from work due to sick leave, maternity or paternity leave, the review should be paused pending their return to work. Depending on the length of absence, the individual may then simply fall into the next cycle, if underway when they return. If not, you should arrange to undertake the outside of the normal cycle.

Appendix C: Frequently Asked Questions for the Reviewee

1) **What should I do if I have concerns?**
   If you have concerns about having a review you should raise these with your line manager or an appropriate senior manager within your area. Alternatively, contact your Human Resources Business Partner (HRBP) who will try and help resolve your concerns. Please note this is a supportive process, aimed at career development and alignment with School strategy. Where objectives are not met, a discussion will take place to identify issues and consider if still relevant and what support might be put in place to support achievement. Failure to achieve all the objectives set will not result in disciplinary action.

2) **Who is responsible for organising my ARDS?**
   The School will organise your ARDS on an annual basis. Human Resources (HR) annually remind Heads of School that the process should be undertaken and will seek confirmation that all reviews have been undertaken.

3) **Who will see my completed ARDS?**
   Your Reviewer and Head of School (if not the Reviewer) will see the completed paperwork. Completed documentation will be stored securely by the School and destroyed after 2 years in line with GDPR and the University's retention schedule. The form is not routinely passed to other sections of the University.

4) **What if I think anything that my reviewer has written is inaccurate?**
   Section I allows you to comment on anything recorded on the form which you think is an inaccurate reflection of the conversation that took place, including any omissions. These can be noted, and the form returned to the reviewer for further discussion

5) **Do I have to sign the ARDS form?**
   Yes. By signing the form, you are confirming that the review meeting has taken place and the documentation reflects the discussion.

6) **Can the ARDS process be used as part of, or in place of a disciplinary procedure?**
   No. The ARDS process is not part of the University's formal or informal capability or disciplinary procedure. Issues regarding performance can be raised during the ARDS process to discuss how performance issues can be addressed and the Reviewee supported. Should performance continue to fall short of expectation, recourse to the capability or disciplinary process should be undertaken. Your local HRBP can advise on the application of these procedures.

7) **Can I refuse to participate in the ARDS process?**
   No. ARDS meetings are mandatory. If you have an issue with your Reviewer, you should discuss your concerns with your Head of School, other senior academic or your Human Resources Business Partner (HRBP) to consider what alternatives might be put in place.

8) **Can I have a colleague or Trade Union representative attend the meeting with me?**
   No. The purpose of this meeting is to reflect, review and plan and as such, both parties should recognise the value of the meeting. It will not result in formal action and therefore, there is no statutory right to be accompanied. The only exception to this, is where an individual may require a BSL interpreter.

9) Storage of completed forms

In line with GDPR (General Data Protection Regulations), completed forms and any accompanying data will be kept securely within the School, accessible to relevant individuals only. This information will be destroyed after 2 years.