Academic review and development policy

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<tr>
<th>Document type</th>
<th>Policy</th>
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<tbody>
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<tr>
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<td>Deputy Director</td>
</tr>
<tr>
<td>Document owner</td>
<td>Human Resources Officer</td>
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<tr>
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<td>Outlines the procedure to manage the annual performance and development review for academic employees.</td>
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1. **Introduction**

1.1 Annual review is deemed to be a vital part of staff development and provides a platform to discuss issues such as workload balance, career aspirations, research leave, promotion and development requirements.

2. **Scope**

2.1 The Academic Review and Development Scheme (ARDS) should be used for the following groups of staff:

- Lecturers
- Senior Lecturers
- Readers
- Professors
- Research Staff (independent and postdoctoral)
- Associate Lecturers (temporary and standard)

2.2 Annually, Human Resources will remind Heads of School of the process, asking them to confirm their preferred timetable for completion (January – June/June – December).

3. **New starts**

3.1 Heads of Schools/Line Managers/Principal Investigators (whoever is responsible for the performance and management of the employee) should meet with new starts within one month of their start date.

<table>
<thead>
<tr>
<th>Lecturers</th>
<th>Objectives set should look forward overall to the first 4 years of employment with emphasis on the first year.</th>
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</thead>
<tbody>
<tr>
<td>Senior Lecturers</td>
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<tr>
<td>Readers</td>
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<tr>
<td>Professors</td>
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<table>
<thead>
<tr>
<th>Research Staff</th>
<th>Objectives set should look forward overall to the first 15 months of employment with emphasis on the first year (or to the end of their fixed-term contract if less than 15 months).</th>
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<tbody>
<tr>
<td>Associate Lecturers</td>
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</table>

3.2 Objectives should take account of stage of career at appointment and reasonable expectations of the position and the relevant academic discipline. The objectives should also be specific to the individual. The Academic Review and Development (ARDs) form should be used to record and evidence objectives throughout the review period. A word version of this form can be found on the HR policy page or via the following link.

3.3 The review period is intended to be supportive and encouraging and the University will look for sustained high quality performance throughout.

3.4 After this initial meeting, subsequent meetings should form part of the normal annual review cycle.

4. **Ongoing review of performance throughout review period**

4.1 If any issues are identified throughout the review period, the Head of School and HR Business Partner will decide how to proceed which may involve initiating the University’s Capability Procedure (Poor Performance). It is important to note that any performance issues must not wait until the annual review and instead managed promptly at the point of concern.
4.2 If performance problems are judged to result from conduct over which the employee has control, the University disciplinary procedure will apply.

4.3 Should a member of staff consistently fail to meet all or some of their objectives, display conduct that is unsatisfactory to the University or generally not perform in line with the expectations and requirements of the University, the appropriate University procedure may be invoked at any time during the review period.

5. Part-time and fixed-term appointments

5.1 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.

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

6. Absence during the review period

6.1 Where a member of staff is absent during the review period, for example, on maternity/adoption leave or extended sickness absence, the University will normally adjust the review dates. Again this will have no impact on the quality of performance required and the objectives will be set accordingly.

7. Procedures

7.1 Lecturers/Senior Lecturers/Readers/Professors

7.1.1 The Academic Review and Development (ARDS) form (Appendix A) should be shared with the School’s assigned HR Business Partner after the first year on employment with the University. In subsequent years the HR Business Partner will receive regular feedback through liaison with the Head of School and will therefore not require overview of the form providing the performance is satisfactory.

7.1.2 At the commencement of year 4, HR will initiate contact with the Head of School to check that performance is on track as per the objectives and actions set in year 1 which will, in turn, be confirmed to the Deputy Principal/Master.

7.1.3 Support for new colleagues is very important and the 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 Lecturer.

7.2 Research staff/Teaching fellows

7.2.1 HR will contact the Head of School/Line Manager/Principal Investigator, 3 months before the end of the individual’s review period to check that performance is on track as per the objectives and actions set at the start of their employment. If performance is confirmed satisfactory, probation will be considered completed and both parties will receive confirmation of completion.
8. **ARDS Form**

* A word version of this form can be found on the [HR policy page](http://example.com) or via the following [link](http://example.com).

8.1 **Lecturers/Senior Lecturers/Readers/Professors**

8.1.1 The form is designed to address preparation for REF2020 as well as teaching and service, and to be a platform for the development of staff and an opportunity for Heads of School to discuss issues such as workload balance, promotion preparation and timing, research leave etc.

8.1.2 The form is designed to be light touch and to be accompanied by research data provided by PURE and teaching data provided by the Head of School.

8.2 **Heads of School involvement**

8.2.1 Heads of School will provide teaching load data as an appendix if appropriate for the School. Otherwise, reviewees will be expected to complete this section themselves. Heads of School will inform reviewees what they should do.

8.2.2 Heads of School, or a nominated deputy, will provide the reviewee with a review date and carry out the review on that date. Directors of Research may attend for just the research discussions.

8.3 **Reviewee expectations**

8.3.1 Reviewees will complete Sections A to F of the form accurately, concisely and in a timely manner, checking any supplied data for errors or omissions. Section A should include what is held in PURE.

8.3.2 It is the responsibility of the reviewee to keep information in PURE up-to-date and accurate.

8.4 **Research staff/Teaching fellows**

8.4.1 **Heads of School involvement**

8.4.1.1 Whilst Heads of School will not necessarily undertake the annual reviews for these groups of staff personally, they should, nevertheless, ensure that all delegated reviewers conduct an annual review with their staff. Heads will also ensure that relevant data e.g. teaching load is made available to staff.

8.5 **Line Manager/PI involvement**

8.5.1 The University expects that all members of staff receive an annual review, therefore all designated Line Managers including Principal Investigators should ensure that their staff receive a review either directly from them or via a delegated reviewer.

8.6 **Reviewee expectations**

8.6.1 It is recognised that individuals in these groups of staff will not necessarily be able to complete all of the boxes on the form. Therefore, individuals should complete Sections A to F of the form accurately and concisely as far as possible. If relevant, they should arrange to get teaching load data from Head of School or Director of Teaching.
8.6.2 It is the responsibility of all relevant reviewees to keep information in PURE up-to-date and accurate.

9. **Human Resources involvement**

9.1 Human Resources will, on an annual basis, remind Heads of School that this process should take place and provide them with up-to-date forms.

9.2 Human Resources will also ensure timely completion of the process by the appropriate HR Business Partner liaising with the Head of School.

9.3 Human Resources will liaise with the Master if there are issues of non-compliance.

9.4 Should any member of staff 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.

10. **Timescales**

10.1 Annual meetings should take place between reviewers and reviewees.

11. **Storage of completed forms**

11.1 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.

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Appendix A: Academic review and development form

**Please note:** A word version of this form can be found on the [HR policy page](#) or via the following [link](#).

<table>
<thead>
<tr>
<th>Reviewee name:</th>
<th>Review date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reviewer name:</td>
<td>Previous review date:</td>
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</table>

**Guide to filling in the form**

- In filling in the form please remember that the Academic Review and Development is designed be “light touch”. Hence, filling out the form should take much less than a morning’s work as most of the information should already be in your CV.

- At the same time, the review meeting should be a valuable opportunity to inform the management of the School about your current activities and plans for the future.

- This form is designed for use within the School. It is not designed to be routinely passed to other sections of the University. The form should be seen as a vehicle for informing and steering discussion in the meeting; you should complete it in that spirit without feeling pressure to “spin” the material in order to present your activities in the most flattering light.

- Input for some sections may be very brief and not all sections will be relevant to all.

**A. Research (include data from PURE)**

1. **Publications since last review and planned outputs**

   Please take this opportunity to check that PURE has an accurate record of your publications appearing in the last 12 months, and list them here. Statistics on citation rates, metrics related to the quality of the journal or the like are not required. If you have any particularly exciting papers in review or development then please mention them too.

   For each published paper please indicate how open access requirements have been complied with and where relevant indicate how the underlying data has been made available.

2. **Current selection of outputs published since January 2014 for REF2020**

   Four outputs will be required for most staff. For REF2020 a “significant contribution” by the author submitting them for assessment is likely to be required. Reviews are not generally appropriate. REF papers MUST be uploaded into the PURE repository within 3 months of paper acceptance, so please confirm that this is the case (author’s accepted version is fine).
3. **Discuss current grant funding, applications made and applications planned**

Please list any grants you currently have running (title, end date, funder and role is adequate), any pending grants and any you are planning to submit in the next 12 months.

<table>
<thead>
<tr>
<th>Title</th>
<th>End Date</th>
<th>Funder</th>
<th>Role</th>
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4. **Discuss impact and knowledge exchange activities and opportunities**

The University is very keen to capture all activity in this area. This section should also be used to indicate if you consider you may have a case study for REF.

<table>
<thead>
<tr>
<th>Activity Details</th>
<th>Impact Description</th>
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5. **List current PhD students and clarify any joint supervision**

A sentence for each with student’s name, funding arrangement, supervisory arrangement, start and end date will be sufficient.

<table>
<thead>
<tr>
<th>Student Name</th>
<th>Funding Arrangement</th>
<th>Supervisory Arrangement</th>
<th>Start Date</th>
<th>End Date</th>
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B. **Teaching (check School teaching workload data for any errors and omissions)**

1. **Discuss teaching activities since the last review**

Highlight any substantial changes there have been to your teaching activity in the last year, how you have found those changes, and any changes you would like to see. Are there any areas where you would appreciate more support or training?

2. **Discuss student feedback to your teaching**

Indicate how you are responding to feedback, why feedback might be different for different parts of your teaching, highlight examples of excellent student feedback and perhaps comment on how you achieved this along with examples of good practice.

3. **Discuss planned contributions to curriculum development**
Outline any involvement in developing new modules or in major revisions to existing ones. If you have ideas for how our curricula should develop (and how you could contribute to such development) then please briefly mention these.

<table>
<thead>
<tr>
<th>C. Service</th>
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<tbody>
<tr>
<td>Discuss contributions to the School, Faculty, University and the wider community including management and administrative roles, collegiality and teamwork</td>
</tr>
<tr>
<td>Indicate your main contributions in a few sentences and particularly focus on roles outside of the School, of which the School management may have less knowledge.</td>
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<tr>
<th>D. Other activities and esteem</th>
</tr>
</thead>
<tbody>
<tr>
<td>Discuss activities such as organising conferences/seminars/symposia, and any professional distinctions, prizes since the last review</td>
</tr>
<tr>
<td>Please do mention any prizes, distinctions, or significant contributions to conferences (organising conferences or sessions), invited talks, editing duties on journals, or any activity on university panels or committees. Please update PURE with key prizes and activities.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>E. List your main objectives for the next 12 months and any development needs or support required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Focus particularly on large projects that you are particularly excited about, and anything where you feel you should flag up resource or support implications for the School.</td>
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</tbody>
</table>

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<thead>
<tr>
<th>F. Any other points for discussion</th>
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<tbody>
<tr>
<td>Use this as an opportunity to reflect on your longer-term ambitions and how you feel the School can best help you achieve those.</td>
</tr>
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</table>

G. Reviewer's comments following the meeting
H. Sign off following the meeting

<table>
<thead>
<tr>
<th>Reviewee:</th>
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</tr>
</thead>
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<tr>
<td>Reviewer:</td>
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