



Contents

1. Introduction

2. ADC Process Overview

- 2.1 Discussion topics
- 2.2 Planning and organising
- 2.3 Getting the most out of the ADC
- 2.4 After the ADC

3. The balanced framework approach

- 3.1 University's strategic planning cycle fits with ADC
- 3.2 The layers of the balanced framework model at a glance
- 3.3 The planning cycle
- 3.4 The balanced framework template
- 3.5 Using the balanced framework

4. Setting objectives

- 4.1 Purpose of objectives
- 4.2 Considering and agreeing objectives
- 4.3 Reviewing progress regularly
- 4.4 Developing meaningful objectives

5. Supporting development conversations

- 5.1 Supporting career development and progression

6. ADC links to other processes

- 6.1 Capability
 - 6.1.1 Raising capability/performance concerns during ADC
 - 6.1.2 The role of ADC when active capability/performance management is underway
- 6.2 Conduct
 - 6.2.1 Raising conduct issues during ADC

7. Appraiser allocation and Resolving Issues

- 7.1 More than one appraiser
- 7.2 Resolving issues
 - 7.2.1 Appraiser allocation
 - 7.2.2 Objectives

8. Supporting resources

Appendix 1 – Examples of different objectives types aligned to the balanced framework

1. Introduction

The University of Nottingham seeks to achieve a high performance culture, where all staff are supported to be the best they can be. This will be facilitated through the Appraisal and Development Conversations (ADC) approach, which ensures that staff have clarity over their goals and responsibilities and an opportunity to reflect on achievements and areas for development, enabling performance to be supported and performance to be enhanced and managed effectively.

ADC discussions are supported by the University, Faculty/School/Department/Professional Service area's balanced frameworks (see Section 3), which detail the University's strategic priorities and areas of focus. The balanced frameworks are intended to provide context in the ADC for discussing individual contribution towards these priorities and helping to shape future objectives which are informed by the wider context of the priorities of the area in which a member of staff works.

The ADC approach is based on a conversational framework, encouraging regular conversations during the year, supported by a minimum annual ADC taking place. This approach aims to provide opportunities to:

- Reflect on delivery of the appraisee's role responsibilities, achievement of objectives and where not fully achieved, progress towards achievement alongside challenges, barriers and any support required.
- Discuss development and training as well as career aspirations and wellbeing.
- Agree future objectives, considering the strategic priorities of the Faculty/School/Department/Professional Service area and taking into account the appraisee's needs, ambitions and individual circumstances.

2. ADC Process Overview

The ADC cycle runs from August to July to coincide with the University year, meaning the annual ADC should take place between the beginning of May and the end of July.

A summary of the topics discussed and appraisee/appraiser comments should be recorded within the ADC form under three broad categories:



2.1 Discussion topics (where applicable/relevant)

Reflection

- ✓ Constructively review delivery against the appraisee's core role responsibilities (as outlined with the role profile).
- ✓ Constructively review objectives and progress/achievements/delivery against objectives (over the last 12 months, or longer/shorter where applicable) and how these have contributed to the Faculty/School/Department/Professional Service area.
- ✓ What behaviours have been demonstrated in how objectives have been achieved as well as what has been achieved (it may be helpful to refer to the Building a Culture for Success Guide here).
- ✓ Leadership and management aspects of the role.
- ✓ Health and safety aspects of the role.
- ✓ Impact of previous personal development/training.
- ✓ Work life balance.
- ✓ Wellbeing.

Looking Forward

- ✓ Personal development needs including informal and formal development requirements/opportunities (including self-directed online learning).
- ✓ Longer-term development and career aspirations, including promotion readiness (where applicable).
- ✓ Opportunities for coaching, mentoring, job shadowing and 360 feedback.
- ✓ Aims/considerations for wellbeing, work life balance, workload.

Future Objectives

- ✓ Overview of the Faculty/Department/School/Professional Service area's priorities using the relevant balanced frameworks (see section 3) and how individual objectives will contribute towards achieving these priorities.
- ✓ Discuss and agree future objectives (which should be SMART - see section 4) taking into account workload and career aspirations/development needs.
- ✓ Discuss how objectives will be achieved (through behaviours) as well as what will be achieved (through outputs).

2.2 Planning & Organising

Ahead of the ADC meeting, review any relevant balanced frameworks for the Faculty/Department/School/Professional Service area for context in the ADC meeting.

Appraisee's should share their comments on the ADC form with their appraiser in good time ahead of the meeting and both appraiser and appraisee should consider the following elements:

- Share any further relevant feedback/information from colleagues/managers/staff/ students as applicable and where helpful to inform the conversation.
- Detail contributions, achievements and progress towards objectives and goals, considering any challenges and obstacles to progress and any particular achievements to highlight.
- Comment on how objectives have been achieved/work has been delivered and any wider contributions made (reference can be made to the Building a Culture for Success Guide).

- Reflect on development/training activities that have taken place during the current ADC cycle and the outcome/impact of this.
- Plan adequate time for the ADC to take place and in a suitable location.

The appraiser should make any notes of key areas for discussion in the meeting, which may be included on the ADC form.

2.3 Getting the most out of the ADC

Reflection	
Appraisee	Appraiser
- Prioritise the particular areas/topics to discuss and be prepared to have an open two-way conversation.	- Facilitate a two-way conversation that is constructive and open, allowing the appraisee to contribute equally to the meeting.
- Reflect on achievements, challenges and progress towards objectives, including how objectives have been achieved (behaviours) as well as what has been achieved (outcomes).	- Provide balanced, clear and constructive feedback on the appraisee's contribution and performance against the expectations of the role. - Recognise contributions and achievements, including how work has been achieved (behaviours) as well as what has been achieved (outcomes).
Looking Forward	
- Discuss any development and/or learning needs in the context of current needs and future career aspirations.	- Provide advice/guidance on the best way to access appropriate/relevant development/learning opportunities.
- Review any other aspects of work including for example; work life balance, wellbeing, health and safety.	- Review any opportunities/concerns and agree any next steps.
- Discuss development in the short to longer-term and any additional development required to support opportunities for progression through promotion or career advancement as required.	- Provide advice and guidance on development and career planning (refer to section 5).
Future Objectives	
<p>Discuss and agree future objectives within the context of the balanced framework (See section 3).</p> <p><i>Some appraisers and appraisees may arrange a follow-up meeting to focus on future objectives or to follow up on any key points of action discussed/agreed. Where this approach is taken, these meetings should be organised within good time of the first ADC to ensure objectives are agreed and recorded as soon as possible.</i></p>	
Next steps	
<p>Plan and agree regular 1-1 discussions/a mid-year review (Any updates can be recorded and shared between the appraisee and appraiser on the ADC form in preparation for the next ADC meeting).</p>	

2.4 After the ADC

- Any additional comments should be added to the ADC form, to reflect the conversation and the final version should be shared between the appraisee and appraiser.
- Any development activities should be recorded, along with an indication as to when these will take place and who is responsible for progressing these.

- Appraisers should keep a note of development/training requirements to enable the collation of themes to inform planning for training /development provision within the University/Faculty/School/Department/Professional Service area.
- Personal development is the responsibility of the appraisee and therefore it the responsibility of the appraisee to agree steps for meeting any personal development needs identified (see Section 5 for more information).

3. The balanced framework approach

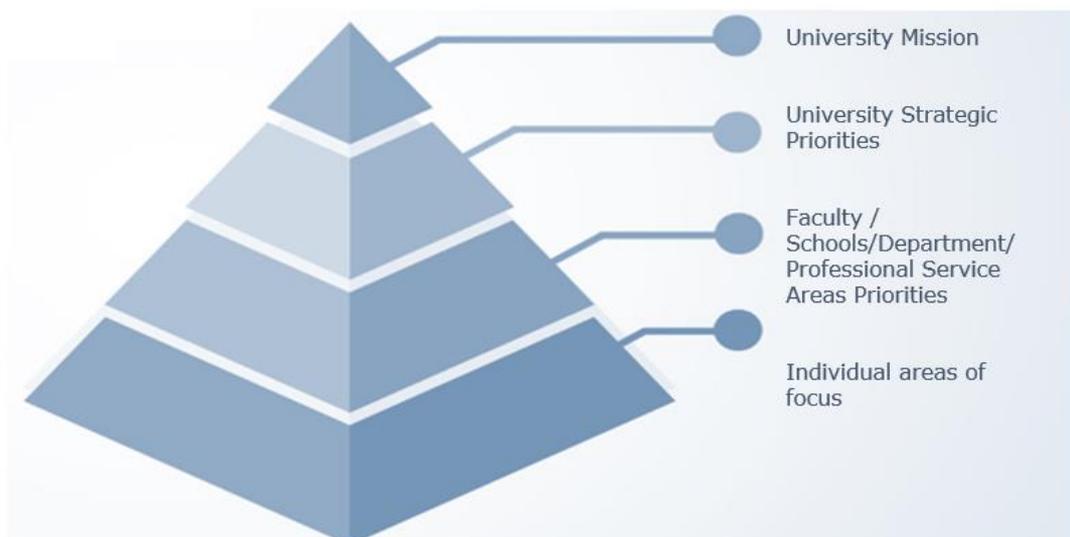
3.1 How the University’s strategic planning cycle fits with ADC

The University operates a planning cycle, which links the overarching longer-term University ambitions, as outlined in the University Strategy, with short to medium-term priorities at a University Level.

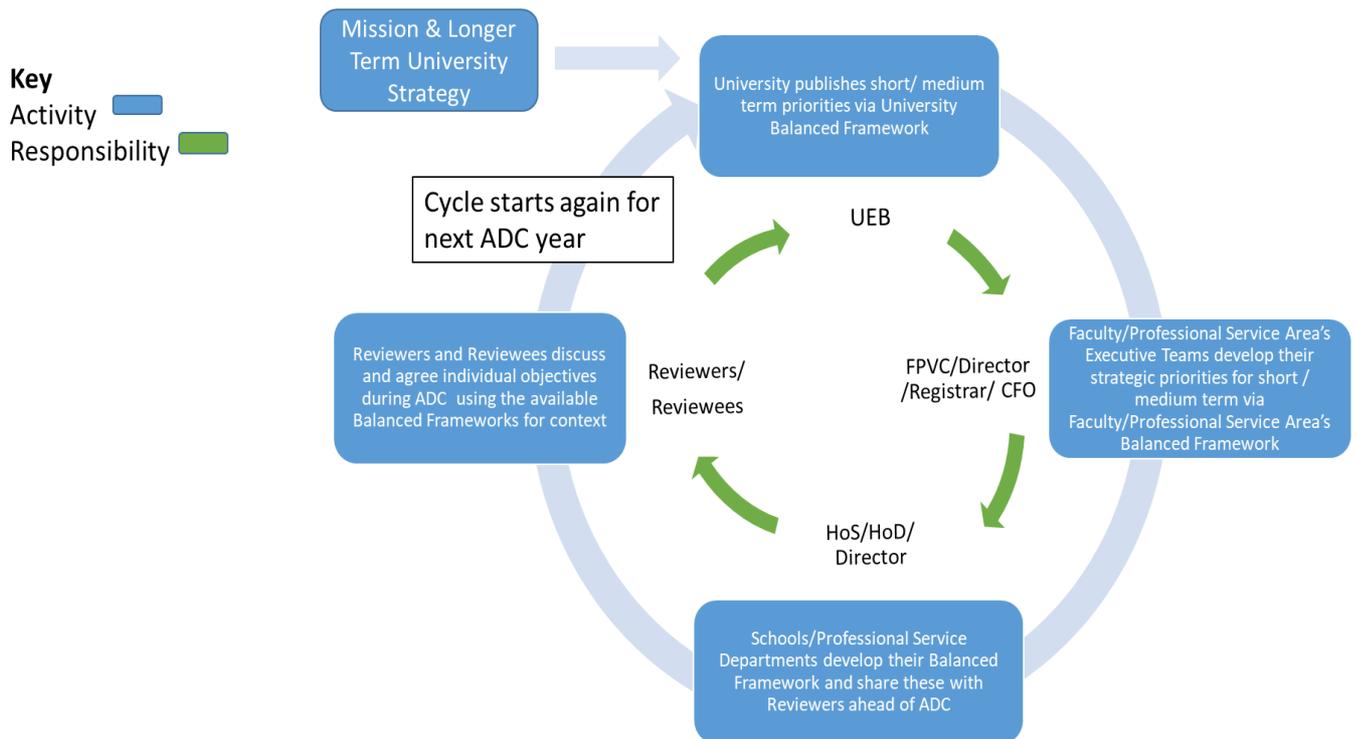
Faculties/Schools/Departments/Professional Service areas also have strategic business plans, which identify more localised priorities and areas of focus in the short to medium-term.

- The University recognises the importance of ensuring there are links between the University aims/priorities, Faculty/School/Department/Professional Service area plans and priorities and appraisee’s objectives/areas of focus.
- To support this, the ADC process incorporates a balanced framework, which reflect the priorities for the University and shapes the areas of focus at a Faculty/School/Department/Professional Service area level.
- This links how appraisee’s work and achievements supports the wider aims of the Faculty/School/Department/Professional Service area and in turn how this supports the achievements of the University.
- The balanced framework focuses on both strategic and operational priorities, and areas of focus in relation to contribution and culture and climate.

3.2 The layers of the balanced framework model at a glance



3.3 The planning cycle



It is important for appraisers to be familiar with the Faculty/School/Department/Professional Service area's priorities as outlined within the relevant balanced framework(s).

Faculties/Schools/Departments/Professional Service areas will publish their balanced frameworks as part of the ADC planning process.

3.4 The balanced framework template

The below sets out what a balanced framework template may look like prior to being populated by the relevant Faculty/School/Department/Professional Service area.



3.5 Using the balanced framework

The balanced frameworks are designed to underpin discussions between the appraisee and appraiser about how the appraisee’s personal objectives contribute to the wider University/Faculty/School/Professional Service areas of focus and to consider achievements against these areas in review discussions.

Some roles/specialist areas of work will require individually specific/discrete objectives and areas of focus. Other roles may benefit from similar/consistent objectives where very similar roles/role types exist.

Not all priorities included in the balanced frameworks will be relevant to all appraisees and therefore the appraiser and appraisee should always discuss appraisee objectives in the context of the role being undertaken.

4. Setting objectives

As part of the ADC process, the appraisee and the appraiser should discuss and agree future objectives.

4.1 Purpose of objectives

An objective is a statement, which describes what an individual, team, or organisation is hoping to achieve. The purpose of developing objectives as part of the ADC process, therefore, is to ensure there is shared clarity over expectations and priorities that the individual will be working towards during the year/agreed time period. Objectives should be Specific, Measurable, Achievable, Relevant and Timely (SMART) and aligned with the current and future University/Faculty/School/Department/Professional Service area’s objectives and priorities as outlined within the balanced framework. Future objectives should be discussed within the context of the balanced framework and should be appropriate to the level and nature of the appraisee’s role.

4.2 Considering and agreeing objectives

During the ADC, the appraiser and appraisee should jointly agree future objectives (ensuring these are SMART), considering the strategic priorities of the Faculty/School/Department/Professional Service area as detailed in the balanced framework and taking into account the appraisee's needs, ambitions and individual circumstances.

Objectives should provide adequate stretch to help appraisees develop skills and experience in both the short and longer-term and should include reference to how work is delivered and achieved (which may focus on behaviours) as well as what is delivered and achieved (focusing on outputs).

4.3 Reviewing progress regularly

Whilst objectives should normally be discussed and agreed at the beginning of each performance year (during the annual ADC meeting), they should not just be agreed at the beginning of the year and reviewed at the end. This is to recognise that circumstances may change during the ADC cycle, whereby it is necessary for the appraisee and appraiser to review objectives and to agree to amend or update them as needed to ensure they remain SMART (eg an objective which focused on delivery of a project which was in-scope at the beginning of the ADC cycle is postponed mid-year; as that objective is no longer relevant it would be reasonable to review objectives at that time). Where adjustments are identified as being needed, these should be discussed and agreed between the appraisee and appraiser.

Adjusted objective(s) should be updated on the ADC form and shared between the appraisee and appraiser. With this in mind, objectives should be flexible and should be reviewed regularly during the year (eg during 1-1 meetings) to ensure that they remain relevant and will still lead to the agreed outcome(s).

Please note: Whilst there are circumstances where it would be appropriate to amend objectives during the performance year, this should always be with regard to any new/amended objectives being reasonable with consideration for both the needs of the University and what are fair and realistic levels of expectation of the appraisee. Agreeing objectives, which are SMART, will support this to be achieved.

Progress against objectives should be regularly discussed and reviewed between the appraisee and appraiser, this will ensure that any potential barriers to progress can be discussed and any support/development identified can be facilitated early to assist the progress towards the achievement of the objective(s).

4.4 Developing meaningful objectives

Objectives should be 'SMART:'

Specific	Measurable	Achievable	Relevant	Timely
A precise description of what the individual is expected to deliver	For example, by quality (by accuracy or a defined measurable standard), quantity (process volumes), or cost (working within an agreed budget)	Realistic, whilst still providing a degree of 'stretch'	To the details contained within the balanced framework/to support individual/team development	A target date for completion

5. Considering development conversations

A central aspect of any ADC should be around development. This can take many forms and could include conversations around:

- ✓ Exploring what the appraisee finds most and least satisfying about their current role and why.
- ✓ Any strengths and areas for development.
- ✓ Current levels of knowledge/skills/behaviours and how these can be developed in the appraisees current role (ie develop experience, on the job tasks, stretch projects/opportunities) in the short-term (up to 12 months).
- ✓ Future career and performance aspirations (ie promotion, diversification, developing other areas of expertise).
- ✓ Planning for development, what options can be identified to support development needs (eg coaching, training, mentoring, 360 assessment) and what the potential results/impact may be.
- ✓ Specific actions required to achieve career goals and timeframes to achieve these, including how progress will be tracked.
- ✓ How the appraisee can develop their Personal Development Plan and agree follow up conversations.

Development can come from many different areas and appraisees should take responsibility for reflecting on their own development and understanding what is available to support future development. However, the role of the reviewer is equally important in considering what development areas may need to be discussed and what may be available to appraisees to support their development. It is recognised that not all development conversations take place during the formal annual ADC nor with the appraiser. Often, the most impactful development conversations can be those which take place with peers/other colleagues, which often take place throughout the year. The appraisee may reflect some of these conversations back in the ADC.

5.1 Supporting career development and progression

Personal Development Plan templates

(<https://www.nottingham.ac.uk/professionaldevelopment/professionaldevelopment/planning/index.aspx>) can be used to help structure discussions around future development needs. Creating bespoke Personal Development Plans (PDPs) should ensure that development is focused on the needs of the individual appraisee; meaning that the plan can be reflective of their career development aspirations, as well as including development needs relating to the current role. Plans will therefore vary depending on individual needs and factors such as where the appraisee is in their career, potential to continue to improve and what their personal career development aspirations may be.

Understanding where appraisees are in terms of their personal development is an effective way of identifying how the University may support appraisees in achieving their aspirations.

Remember: Personal Development does not have to focus just on attending classroom style training courses. Informal development opportunities (eg on the job learning, job shadowing, succession planning etc) along with access to role models and/or mentors can all provide support and development opportunities. The use of coaching, where you can be supported by a qualified coach, can also be a powerful developmental tool.

The use of a 360-feedback assessment may also be helpful for exploring development needs. For more information on this option, please visit the LMA Hub (<https://moodle.nottingham.ac.uk/course/view.php?id=48417>).

6. ADC links to other processes

The normal expectation is that capability/disciplinary issues should be discussed and dealt with as and when they arise. However, it is recognised that there may be exceptional cases where issues are identified through the ADC that are better dealt with as capability or conduct matters. The ADC may be the starting point for such discussions, but matters should then be managed through either the capability or disciplinary process. Where such instances have arisen during the year, they may be noted in ADC as part of the reflection process and as part of future development discussions (where appropriate).

6.1 Capability/Performance Improvement

6.1.1 Raising Capability/Performance Concerns during ADC

Capability concerns should be raised at the point at which they are identified. If circumstances arise where the appraiser identifies potential capability issues through the ADC, ie these have not yet been identified and raised earlier in the year, these issues should be discussed during the ADC and notes of the conversation should be documented. The appraiser should then refer to the Capability Procedure for the next steps.

Roles responsibilities/objectives/behaviours should be reviewed and feedback given as to where roles responsibilities/objectives have not been achieved or where behavioural issues have been observed. The appraisee should be given appropriate objectives, support and training to assist them in making adequate progress towards the expected performance requirements of the role.

Where capability issues have been discussed at the ADC, and/or where significant concerns have been identified, it is likely that the Capability Procedure (or Performance, Development and Improvement Plan for O&F Staff) should be applied in seeking to address the concerns; the appraiser should seek advice from the HR Employment Relations Team.

6.1.2 The role of ADC when active capability/performance management is underway

Where an appraisee is already within a capability/performance process, the ADC should still take place and will normally be held with the Progress Review Manager (see Section 2.1 and 4.3 of the Capability Procedure) involved in the Capability Procedure. Objectives for both ADC and the Capability Improvement Plan (or Performance, Development and Improvement Plan for O&F Staff) should be the same or similar and monitoring against these objectives should continue through the capability process following the annual ADC meeting. The ADC will take into account any relevant matters that might have impacted on the achievement of objectives for the year under review, including where these relate to capability. The ADC should capture an overall reflection of the appraisee's year.

6.2 Conduct

6.2.1 Raising Conduct issues during ADC

The normal expectation would be that conduct issues would be identified and discussed as and when they arise, rather than at the ADC, unless this corresponds with the timing of the ADC meeting.

If, as an outcome of discussions at the ADC meeting, the appraiser feels the issue is sufficiently serious then they should refer to the Disciplinary Procedure and seek advice from the HR Employment Relations Team.

7. Appraiser allocation

As part of the planning for ADCs, the allocation of appraisers takes place. In the O&F, Technical, APM and Childcare Services job families, the appraiser is normally the line manager of the appraisee.

In the R&T job family, where direct line management structures may not be in place, the Faculty/School allocates appraisers based on 'best fit' to enable a meaningful and constructive conversation to take place.

An important part of the planning for ADCs is ensuring that appraisers are identified/allocated for every member of staff.

7.1 More than one appraiser

Individual circumstances may result in an ADC taking place with more than one appraiser. This may be due to a range of circumstances and may include (but not be limited to), the appraisee having more than one role at the University; the appraisee having been seconded during the year, or having worked on a particular project for a substantial amount of time whereby they were reporting into a manager who is not their normal line manager, or where two appraisers are more appropriate to provide a holistic/comprehensive and meaningful ADC.

In these circumstances, it should be agreed between all parties the best way to manage the ADC, either through a joint conversation, separate conversations with the outcomes of both noted on the ADC form, or written input from other relevant parties feeding into the lead appraiser.

7.2 Resolving issues

Exceptionally, there may be occasions where issues arise before, during or after the ADC. In these exceptional circumstances, both the appraiser and appraisee should aim to resolve any issues informally and to a satisfactory resolution.

7.2.1 Appraiser Allocation

If the appraisee feels there is a substantial conflict of interest with the allocated appraiser, then they should raise this with the appraiser's line manager as soon as possible and prior to the ADC meeting. The appraiser's line manager will consider the circumstances and make a decision as to whether the appraiser is appropriate; the appraiser's manager will confirm their decision with the appraisee.

7.2.2 Objectives

If there is conflict regarding the assessment of performance output or appropriateness of objectives as a result of the ADC, then the appraisee and appraiser should discuss this in the first instance, aiming to resolve the issue. If the appraisee feels that the issue has not been resolved, then the matter should be referred to the appraiser's line manager who will make an assessment of the circumstances and take any appropriate steps to remedy the situation and provide feedback to the appraisee.

8. Supporting resources

Learning and career development resources:

- Central short courses - <https://training.nottingham.ac.uk/Portal/Home4>
- Leadership and Management Academy Hub - <https://moodle.nottingham.ac.uk/course/view.php?id=48417>
- Staff Career Development Hub - <https://moodle.nottingham.ac.uk/course/view.php?id=48416>
- Additional resources on career planning and development - <https://www.nottingham.ac.uk/professionaldevelopment/professionaldevelopment/index.aspx>
- Performance management e-learning - <https://www.nottingham.ac.uk/ProfessionalDevelopment/leadershipmanagement/index.aspx> and <https://moodle.nottingham.ac.uk/mod/page/view.php?id=2965667>
- Resources on coaching and mentoring - <https://moodle.nottingham.ac.uk/course/view.php?id=48414>

Behavioural competencies:

- Building a Culture for Success Guide - <https://www.nottingham.ac.uk/hr/guidesandsupport/performanceatwork/pdpr/documents/building-a-culture-for-success.pdf>

Procedures:

- Capability procedure (R&T, APM, Technical, Childcare Services) - <https://www.nottingham.ac.uk/hr/guidesandsupport/capability-policy/documents/capability-procedure-05-2018.pdf>
- Capability guidelines for managers (R&T, APM, Technical, Childcare Services) - <https://www.nottingham.ac.uk/hr/guidesandsupport/capability-policy/capability-policy.aspx>
- Human Resources Manual (O&F Staff) - https://workspace.nottingham.ac.uk/display/BWuonSD/Human+Resources?preview=/210933314/287249372/Human%20Resources%20Managers%20Manual_JUL18V21.docx

ADC forms:

- ADC forms (insert link)
- ADC leaflet (insert link)

Examples of different objective types aligned to the balanced framework

Examples of specific objective types:

- A Researcher's objectives will primarily focus on the Research, Culture and Climate and Contribution areas of the balanced framework and there may be very specific research objectives agreed, reflecting the specialist area of work/discipline.
- A Project Manager may have specific objectives agreed to reflect particular projects identified as necessary in support of the wider Faculty/School/Department or Professional Service area's priorities. Focus on behaviours **may** be the same as other Project Manager's within the team where identified as a particular priority.

Examples of similar objective types:

- An administrative team, undertaking similar work activities, may have the same or similar objectives to support the operational priorities identified in the balanced framework.
- All staff within a department may have a specific area of focus on a particular behaviour, as identified as a particular priority.

Examples of contribution objective types:

- It may be necessary to reduce financial overheads within an admin hub and, therefore, everyone within that area may have a focus to identify ways to be more financially sustainable and implement any necessary actions to do this for example smarter working practices.
- There may be a focus on increasing international reputation/engagement, therefore, objectives could be included (and depending on specific roles/responsibilities) in how to achieve this.
- There may be a focus on improving customer service, therefore, objectives could be included (and depending on specific roles/responsibilities) in how to achieve this.
- Specific objectives here could relate to leadership and management activities, depending on the specific role being undertaken.

Examples of culture and climate objective types:

- There may be a focus within an area on inclusivity, all appraisees may, therefore, have objectives relating to promoting equality, diversity and inclusion within the wider work context.
- There may be a focus within an area on creating and implementing initiatives and activities to support and improve employee engagement, appraisees may, therefore, have objectives in how to achieve this.