Performance Development Discussion

Departmental Guidance
**Table of Contents**

Performance Development Discussion (PDD) Process ......................................................................................................................... 3
  - Benefits ..................................................................................................................................................................................... 3
  - Guiding Principles .................................................................................................................................................................... 4
Guidance for Heads of Department/Division ................................................................................................................................. 5
  - The role of the Head ............................................................................................................................................................... 5
  - The role of the appraiser ........................................................................................................................................................ 5
  - The role of the appraisee ......................................................................................................................................................... 6
The PDD-a suggested timeline ...................................................................................................................................................... 7
Performance Development Discussion (PDD) Process

In introducing the PDD Process in May 2016 the Vice Chancellor Paul Boyle stated.....

‘In our Strategic Plan we committed to making our approach to appraisal transparent, understandable and fair. With this aim in mind we are launching a new approach to appraisal-Performance Development Discussion (PDD)....

It is vitally important that we recognise all colleagues’ contributions, which are made in many different ways.....

Furthermore, an effective performance development process is needed if we are to achieve the transformation we wish to bring to our University...’

The PDD Process is...

..........a formal opportunity for all members of staff to receive feedback on their performance and development activities, to discuss current workload, agree objectives for the coming year in line with departmental/divisional objectives and wider institutional objectives, and consider appropriate developmental activities to support those objectives.

Within a wider context, PDD is a part of the University Strategic Plan, which commits to making the approach to appraisal transparent, understandable and fair; an effective process to achieve the transformation to the University with regard to realising discovery-led teaching and research, and discovery-enabling culture and environment; and a means by which colleagues’ contributions can be recognised.

The PDD is a supportive and constructive two-way conversation between the appraisee and appraiser, involving reflection on the work of the past year, what is happening at the moment, and aspirations for the future. It will be supported by more informal discussions during the year.

Within the academic community it is the primary (but certainly not sole) opportunity for academic members of staff to indicate interest in applying for study leave, merit awards and promotion, and to express interest in undertaking new types of work (e.g. an interest in administrative/leadership roles). Please consult the University of Leicester Academic Career Map for guidance.

Benefits

We all want to do a good job. To enable us to do this we need to know what we are aiming for and how well we are currently doing. In order to have clarity we need an opportunity to sit down, think and reflect for ourselves and thence with a person who can offer us support and guidance.

The PDD is not the ‘responsibility’ of the appraiser or of the appraisee; it is a joint, positive and constructive conversation that enables the appraiser and the appraisee to talk openly.
The benefits of a PDD are to:

- allow appraisers/managers to acknowledge and give recognition for appraisees achievements by giving feedback to appraisees
- enable appraisees to discuss what they have achieved against any previously agreed objectives
- allow appraisees to discuss future work aspirations
- enable appraisees/appraisers to identify strengths and areas that could be built upon to improve opportunities for the future
- allow appraisees/appraisers/managers to identify, agree and plan training and development needs
- provide appraiser/manager with an opportunity to address difficulties and problems that the appraisee may have raised

This will enable appraisees to:

- Understand how what they do fits in to the bigger picture with the strategic aims and values of the University
- Have the opportunity to discuss and contribute to team, department and college aims and objectives
- Be clearer about what is expected of them
- Be supported by the University to learn and develop in order to meet these expectations
- Be able to discuss and find joint solutions to barriers that may emerge such as time, resources, management and relationships
- Think and plan for any wider career aspirations

**Guiding Principles**

- All staff should engage in the PDD process annually (this includes part-time staff, recent starters-including staff in their probation period, GTAs, RAs, staff on study leave, staff under performance management, on short term contracts and those staff who are planning to retire; with no set date).
- All staff should use PDD Form A.
- Academic staff may wish to complete the optional Form B to provide granularity of information.
- The PDD conversation between appraisee/appraiser is confidential; the content of the final, submitted PDD form including objectives is not, and will be reviewed by the Head of Department/Division.
- The final, submitted PDD form must have been agreed by the appraisee.
- PDD is a complement to, but does not overlap with mentoring for academic staff: it is recommended that an individuals’ mentor is not their appraiser.
- PDD is focused on identifying and supporting individual objectives that align with departmental/divisional and institutional objectives.
- PDD objectives for academics will be a combination of research, teaching, engagement, enterprise and leadership/citizenship dependant on their type of contract and grade.
• Each appraiser should ideally undertake about 7 PDDs and certainly no more than a maximum of 10.
• A PDD is said to be completed when the discussion has taken place and the paperwork has been signed off with signatures by all parties.
• The appraiser and appraisee should retain copies of the forms, ideally electronically.
• It is recommended that all copies of departmental PDD forms are also stored in a central, secure area, within the department. This should have controlled access.
• Records should be kept, within the department, of which PDDs have taken place and when.
• Completion rates will be monitored through College Management Boards, PSMT and through a series of related questions in the Staff Survey which will enable progress to be monitored on an annual basis.
• Consider using IRIS to capture as much information as possible, as this will be used for REF.

Guidance for Heads of Department/Division

The role of the Head

It is the responsibility of the relevant Head to:

• Pair each member of their staff with an appraiser, bearing in mind the following principles:
  o Appraisers must not be the same individuals as mentors.
  o Appraisers should be consulted about the number of PDDs they take on, with a maximum of 10.
• Communicate with their appraisers (individually or as a group) prior to PDDs to ensure a consistent understanding of Departmental/Divisional and University institutional objectives
• Use the relevant library of objectives to set your own objectives and cascade anything relevant to your team
• Review all completed PDD forms, commenting upon those for which they were not the appraiser and follow-up:
  o with the appraisee when the PDD has raised issues that require additional support or intervention from the Head (e.g. in relation to promotion, occupational health, etc.)
  o with the appraiser when objectives are not aligned to Departmental/Divisional and institutional objectives
  o with the appraiser when they feel objectives are not sufficiently stretching for the appraisee.

The role of the appraiser

It is the responsibility of the appraiser to:

• When matched with an appraisee; contact the appraisee to arrange a PDD meeting and agree a timeline for the delivery of the PDD form.
• Arrange a suitable meeting place away from interruptions for a meeting of about 90 minutes in length.
• Review documentation supplied by the appraisee prior to the meeting (along with other material as relevant, from the Head), including their previously agreed objectives, achievements, and any training and development that they have completed

• Finalise objective setting as a joint responsibility during the PDD, in light of Departmental/Division Head’s guidance on objectives

• Complete the comments portion of the PDD, ensuring that career development matters are specified (e.g. study leave, merit award, promotion applications; interest in future administrative leadership roles), flagging any issues that require additional support/intervention by the Head, and return to the appraisee for their comments

• Agree the form content and comments with the appraisee before forwarding to the relevant Head

Appraisers are able to access supporting materials and training opportunities from the Organisational Development web pages, including appraiser guidance.

The role of the appraisee

It is the responsibility of the appraisee to:

• draft the relevant PDD form (form A for all staff and the optional form B for academic staff) and send it to the appraiser by an agreed date prior to the PDD

• complete the PDD form, reflecting the agreed objectives and any other changes or additions in light of the PDD meeting, and send this to the appraiser after the PDD has taken place (for the appraiser to add their comments)

• reflect on the appraiser’s comments and add their own, and return to appraiser/manager for submission to Head of Department/Division

Appraisees are able to access supporting materials and training opportunities from the Organisational Development web pages, including appraisee guidance and an e learning course on ‘Getting the most from your PDD’.
The PDD - a suggested timeline

3 weeks before
- manager/appraiser should schedule a Performance Development Discussion, book a meeting room and invite the appraisee

2 weeks before
- appraisee should review and start to complete the Performance Development Discussion form and send to the manager/appraiser
- all staff are to complete part A, academic staff should consider completing the optional part B

1 week before
- manager/appraiser should receive Performance Development Discussion form and prepare for Performance Development Discussion

Performance Development Discussion
- appraisee to make notes during Performance Development Discussion, clarify and agree objectives prior to the end of Performance Development Discussion
- appraisee should continue to complete the Performance Development Discussion form after the discussion

2 weeks after
- appraisee should complete Performance Development Discussion form, sign it and send it through to manager/appraiser
- manager/appraiser should receive completed signed PDD form

4 weeks after
- manager/appraiser should add comments and sign form, return to appraisee and ensure that they see comments and agree
- on agreement, appraisee to return form to manager/appraiser
- manager/appraiser should forward to the head of department/division/college for additional comments and signature

6 weeks after
- head of department/divison/college should add comments and sign form
- head of department/division/college should return form to manager/appraiser
- manager/appraiser should file original form and send a copy to the appraisee, either electronically or as a paper copy
- copy of form to be stored in a departmental central, secure storage area