Personal Appraisal and Development (PAD) – Academic
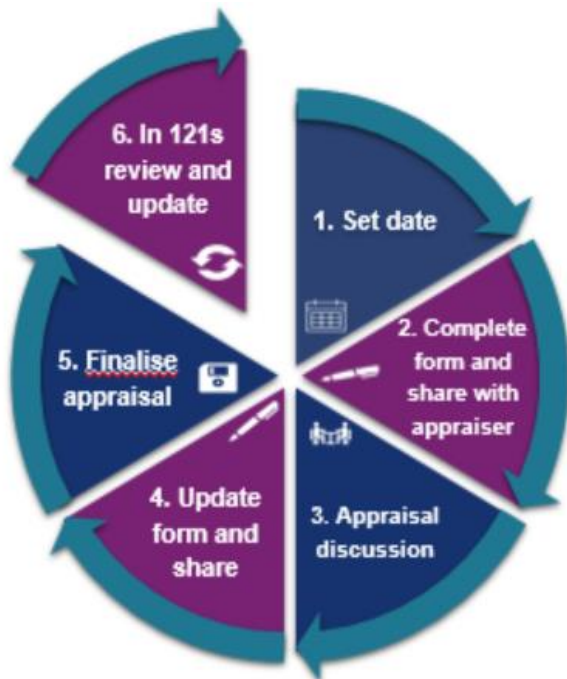
This guide is intended to help prepare for the Personal Appraisal Development (PAD) discussion. In addition, there is guidance on how to use the system, and workshops. Book on '*Making the most of your Appraisal: Appraisers" and Making the most of your Appraisal: Appraisees"* here.

The yearly appraisal discussion is a summary of more regular conversations and gives you space to reflect and look at the big picture.

You can jump to the part of the guide you are most interested in.

Summary

1. Set date | for your Personal Appraisal and Development (PAD) discussion with your appraiser.

2. Complete form and share with appraiser | Reflect on the past year using the questions in the Personal Appraisal and Development (PAD) form as a prompt.

    a) Agree with your appraiser if you should complete the Looking Forward objectives before or after the appraisal discussion.

    b) To consider your Looking Forward objectives, you will need to understand your team or School/Institute/Department's objectives.

    c) *Share* the form with your appraiser at least 5 days before the meeting.

3. Have appraisal discussion | Have appraisal discussion(s) with your appraiser.

4. Update form content and share| Both you and your appraiser update content based on discussion, and both complete the Summary tab.

5. Finalise appraisal | This can be done by you or your appraiser, as long as you have both seen final content.

6. In 121s review and update| Update and review your form regularly. When the new PAD is launched in the autumn, your *Looking Forward* objectives will be prepopulated into the *Looking Back* objectives of the new form. You can use this new form to add notes on progress and/or changes throughout the year.

Aims of the Personal Appraisal and Development discussion:

• Ensure a shared understanding of objectives

• Celebrate successes, identify and address any obstacles to achieving objectives

• Identify strengths and development needs and enable discussion of career aspirations

The Personal Appraisal and Development document can be updated throughout the year to include any changes to and progress of work and development objectives.

Before the appraisal discussion, the appraiser and appraisee should refer to team objectives and how these link to School/Institute/Department plan, University/Faculty Enabling Plans and the Strategic Objectives.

When conducting the appraisal discussion, keep in mind the behaviours in the Values in action e.g. respecting people's different skills and knowledge; providing appropriate, well-identified challenges and support to others.

Some parts of the form are pre-populated from the previous year's form e.g., this year's 'Looking back' objectives are pre-populated with last year's 'Looking forward' objectives. You can split the appraisal into more than one meeting to ensure discussions are focussed and that you have sufficient time.

OPD welcomes any feedback on the form so we can continually improve. However the form is just there to support; the quality of the conversation is what's important.

Link with other people processes

The focus of the Personal Appraisal and Development discussion is development and career. It doesn't have direct links to other people processes but should be consistent with them, e.g.

- it should provide realistic information and feedback on whether someone is ready for promotion.
- information from recruitment/probabtion should feed into it e.g. identified development objectives.
- where improvement are necessary these should be raised in regular one to ones and summarised in appraisal where open and honst discussions can idenfy what action and support is needed.

The apprasial process is not to be used for managing poor performance; Queen Mary has the Capability Policy and Procedure for this.

Objectives

Preparation

As an appraisee and appraiser, consider:

- Specific achievements to celebrate – consider what went well and what you learnt from them

- Areas that haven't progressed: what have been the obstacles, and how could these be overcome/avoided?

- Challenges faced, overcome and foreseen.

- Support needed

- Enhancements in practice to support equality, diversity and inclusivity. How can you build/share this?

- What are our priorities now and in the future? What does this mean for what I should start, stop, and continue doing?

  The following documents might help you prepare:

  o Academic Careers Framework to help you consider what you need to focus on to meet your career goals. The appendix provides prompts to consider for each part of the Academic Career Framework

  o Strategy 2030 , Strategic Priorities (Appendix 2) and Enabling Plans

  o Any School plans or teaching or research strategies

Looking forward objectives
Why

- Have a shared understanding of what success would look like
- That work is prioritised based on areas that are aligned to Strategy 2030, Enabling Plans and where possible your interests and ambitions.

How

- Objectives are expressed as outcomes and are not detailed descriptions of how work is to be done. They should not constrain the freedom of enquiry and expression enshrined in the tradition of academic freedom.

- Whilst a firm statement of intent, some objectives will change in the face of shifting circumstances and opportunities. Some objectives will depend on the availability of support/resources.

- They should relate to all the main areas of a person's role.

Review all objectives to check they are SMART:

Specific. The outcome is tangible and concrete.

Measurable. Describe the features of a successful outcome. Some may be quantifiable. Where it is not possible to quantify, the challenge is: has the outcome been described sufficiently clearly that both sides know what success would look like?

Achievable. Objectives should be achievable in normal working time and within the control of the individual, in the anticipated context, including the resources likely to be available.

Relevant. Objectives must be relevant to the activities and ambitions of the appraise and the School/Institute priorities, and aligned to Strategy 2030

Time-related. Objectives have a deadline which should be appropriate to the nature of the work rather than be driven by the annual review cycle. Where longer timescales than a year are appropriate and agreed, it is helpful to discuss interim milestones.

> ### Evidence
> **Setting SMART goals** – setting challenging, specific goals leads to higher performance than urging people to do their best (except when the task is complex, or the individual is new to the task); this is "regarded as one of the most 'evidence-based' interventions in organisation and people management" (Barents, E., Janssen, B. and Velghe, C. (2016))

Example objectives

- Submit for publication as author or co-author (a particular piece of) research to a refereed journal (e.g…) with a backup plan for alternative (specified) journals by (date).

- Submit applications for research grants to the value of £x from sources such as (….), with a backup plan for alternative sourcing by (date).

- Initiate/develop collaborations with University colleagues and with internationally-leading groups (e.g….) over the next 18 months to develop research in the area of (specify).

- Apply for membership of a research-based (national/international) committee/learned society (e.g…..) in the coming 18 months, with back up plans for alternatives.

- Lead development of new module in (specify) by (date), specifically targeted at (e.g. audience), potentially employing innovative technologies (e.g….)

- Revise module x (an existing module) in view of the challenges of increasing demand (specify) and reduced funding (specify), bearing in mind competition from Y University. By (date).

- Investigate the suitability of x technology/teaching method in y course with a view to applying it to a module next year. Make recommendations to the leadership team by (date).

- Develop a proposal for a new international/public engagement partnership by X date with an aim to…..

Citizenship

This section is about how you have contributed to the Queen Mary community; it replaces the *Additional Contribution* section. For examples of activities see Appendix 1, *Citizenship and Inclusion* section.

Consider how you can build on success, embed work that has already been started, and leverage your strengths. This section also asks you:

What Values in action do you want to focus on in delivering your objectives?

This gives you an opportunity to reflect on what behaviours it would be useful to use in order to achieve the best outcome. For example, when developing a research proposal is there an interdisciplinary that could be more inclusive and/or consider how you could approach it in a new way (Ambitious).

How you will measure your success?

It's important to consider how you measure your success upfront, as it may require you to gain a baseline measure and/or a clearer idea of the problem you are trying to solve. These can be quite simple; for example, if you were mentoring someone you might set objectives at the beginning, then ask the mentee to describe/rate where they are at the start and end of the mentoring process.

This gives you an opportunity to reflect on the part you can play in improving awareness and reputation of Queen Mary. For example, are you making best use of the design templates and key messages provided by Marketing & Communications? You could consider whether/how you can improve the public profile of your work and what training, coaching or other support you might require to support you.

Considering both the *Objective* and *Citizenship* section, is the workload manageable? You are encouraged to have open and constructive conversations relating to workload and discuss any changes where appropriate to ensure aims and objectives are achievable. Ongoing conversations about workload are encouraged in one to ones.

Support and Engagement

This year, focusing on wellbeing will be particularly important. Consider – how are you doing? What is working for you? What needs to change? What motivates you? Identify areas where you might say 'my job would be great/even better if…' or 'I really like my job except…'

Engage with the purpose of the job: what's important to you about it? How can we do more of that?

Career and Development
Looking back

It's worth spending time on this section, reflecting on what development you have had and how you have applied it. Often this requires some thinking and support.

Looking forward
Career and personal ambition

- An apprasiee may decide they don't want to go for promotion, that is their decision. However, it might be worth exploring what's behind that decision. For some it may be lack of confidence, and so discussing the evidence for whether an appraisee is ready for promotion would be useful.

- If you are considering promotion use the Academic Careers Framework to explore what you have already achieved and ask advice on what you need to do to be ready for promotion. The promotion and appraisal processes are not formally linked but you could take information from your appraisal to support your promotion, where this provides evidence of your contribution.

Your Development Objectives and Activities

- Development objectives may arise out of reflection on the previous year, supported needed for planned objectives, changes, keeping up to date, continuous improvement, and career ambitions.

- Avoid defaulting to only thinking about training; most new expertise is acquired through exposure to new situations, people, and challenges. Consider, therefore, suggesting new responsibilities to gain different experience, mentoring, guided reading and job shadowing.

- Consider how you intend to engage in continuing professional development in your subject discipline and its pedagogy. This might include incorporating research, scholarship, and the evaluation of your professional practices.

- How do you intend to build on the skills and knowledge gained from qualifications (e.g. for a teaching qualification such as Postgraduate Certificate in Academic Practice (PGCAP))

Support for Development of Early Career Researchers

One of the three pillars of Research Strategy is to provide world-class support for our researchers. In support of this, we are signatories to Concordat to Support the Career Development of Researchers. The Concordat specifically sets out some responsibilities for managers of researchers these are summarised below:

- Hold regular (as a minimum annually) career development discussions with their researchers

- Support researchers in exploring and preparing for a diversity of careers (both in and out of HE) for example, through the use of mentors and careers professionals, training, and secondments. The support from Career and Enterprise, careers workshops in QM Academy and Vitae website can help.

- Allocate time for their researchers to engage with professional development

- Identify opportunities, and allow time for their researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours.

- Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development.

Internal development

Organisational and Professional Development

Queen Mary Academy including:

- Education and Learning
- Teaching recognition
- Researcher development

Health and Safety

Tips for an effective PAD Conversation

Opener questions

> What is important to you in your work right now?
>
> Which of the Strategic Priorities (see appendix 2) do you feel you make the biggest contribution to?
>
> Which of our Values in action do you feel are your strongest? When have you demonstrated this?
>
> How can this conversation be of most help to you?

Builder questions

> Tell me more about your biggest achievement?
>
> What challenges have you successfully overcome and how?
>
> What small step could you take to build on this success?
>
> How would others know that things were improving?

Providing helpful feedback

First check - am I being a good 'critical friend' and doing this because I want to help and support?

Start with a question to prompt their self-reflection, e.g. How did you think x went? In hindsight what would you do differently? What might help you do that? They might already be aware of the issue.

If not, try the BIFF feedback model:

- **Behaviour** – be specific about the events, facts or behaviours you have seen or been told about. Back this up with data – what specifically was said and done?

- **Impact** – what impact has the action had on other people or the organisation? Back this up with examples of evidence – what are their and your thoughts, opinions or conclusions as a result?

  Consider what is your shared purpose e.g. "It would be helpful to have shorter e-mails so I can more easily pick up your point" or "do x so we can compete tasks efficiently/ to a high standard."

- **Feelings** – how do you or others feel about the situation (not about the individual)?

  "I feel pleased …"

  "You made X feel proud …"

  "I feel worried …"

  "I feel it comes across that …"

  "When you said this to X, they said that it made them feel…"

  No one can deny other people's feelings and why it is personally important to them.

- **Future** – what is the desired outcome or result of this? Be clear about the results this feedback is intending to produce? What do you want to reinforce, change, do or stop?

> **Evidence**
>
> **Reflection** Research suggest that people who reflect are more effective
>
> **Positive feedback-** a number of research studies (e.g. Budworth et al 2019) suggest that providing more positive feedback (consider a ration of 3:1) results in more improved performance.
>
> Spend as long thinking about and planning how you give positive feedback as you do about constructive feedback.

The BIFF model (above) is also appropriate for positive feedback.

When receiving feedback:

If the feedback is positive it can be natural to not spend time reflecting on it. However, it's important to acknowledge it (thank the person) and consider how you can build on this and use your strengths.

If the feedback is negative, it can be natural to feel defensive and justify your actions, for example by blaming the situation or other people. If you do this people are unlikely to want to give you feedback again, and you will miss out on important perspectives. Try to give yourself time:

- Ask questions and probe for more information if necessary, to ensure you have sufficient detail and understanding of the feedback.

- Take a 'time out' if needed: "That's interesting. I've not seen it like that before, can I go away and reflect?"

- You can ask others to get their perspective.

- Agree next steps, during the conversation, or at an agreed later time.

Appendix 1 - Examples for objectives setting and review

To help review (looking back) and formulate (looking forward) objectives use Academic Careers Framework further questions/examples to consider below:

Education

How have/can you contribute to providing a world-leading education and student experience?

Examples:

- Improved/positive module evaluation results.
- Improved pass rates or improved results for students taking your module/s.
- New ways of delivering feedback to students.
- Improvements to the turnaround time in which students have received module feedback.

Students have been given clear information on the criteria used in marking assessments.Improved and transparent availability for students (where appropriate multi-mode).

- Provision of opportunities for students to gain work experience or work skills on your modules to support their future employability and entrepreneurial initiatives.
- Opportunities for co-creation of educational activities with students made available (where appropriate). Students recognised and rewarded for this contribution e.g. SEED Award (Student Enhanced Engagement and Development)
- Could use feedback from peer teaching observations to inform future teaching practice.

Have you considered whether you map across to the criteria for another category of Higher Education Academy (HEA) Fellow? e.g. Senior or Principal?

Research

How can you contribute to our distinctive, world-leading, curiosity-driven and applied research?

- Publications and other research outputs.
- Research impact, including engaging with the public/beneficiaries, informing policy.
- Grant applications and awards at a level appropriate to the discipline and your career level (starting off perhaps with small scale travel grants).
- Nos PhD supervisions (consider completion dates).
- Work contributing to research impact.
- Consider contribution to REF/TEF/KEF as relevant to the job profile.

Research culture

- Leadership roles.
- Support and nurture early career researchers.

- Support for Equality, Diversity and Inclusion initiatives.
- Facilitation of research interactions and collaborations.
- Building of growth of networks or centres.
- Maintaining the highest standards of research integrity.
- Developing cross-disciplinary research activities.

Scholarship

This can take many forms and take place across disciplines. It includes the work undertaken in preparation for teaching, and keeping up to date with developments in the subject area to ensure teaching is informed by the latest developments in scholarship.

Citizenship and Inclusion

Contributing to the Queen Mary community, including demonstrating our Values in action.

Activities that you have/will be involved in that enable us to achieve the 2030 Strategy, supporting others to achieve their goals, and developing the University community by advising or mentoring within your School/Institute or Faculty.

- Supporting the increase of awareness and reputation of Queen Mary.
- Serving on School/Institute, Faculty or University committees e.g. Athena Swan.
- Contributing to policy development.
- Involvement in, or leadership of, culture change within a discipline or team.
- Promoting equality, diversity and inclusion for staff and/or students.
- Contributing to School, Faculty or University strategic activity.
- Member of staff network committee e.g. Parents and Carers Network, LGBTQA+ Staff Network etc.
- Contributing to an Equality Diversity & Inclusion specific event of conference.
- Supporting the wellbeing of others.

Citizenship and Inclusion also includes demonstrating how you have delivered your objectives by exemplifying our Values in action e.g.

- How have you actively considered and met the range of needs in our community?
- How have you kept informed of the University's achievements, and celebrated them?
- How have you been ambitious?
- How have you built strong partnerships with other disciplines/Professional Services to resolve challenges?
- How have you upheld integrity?

Enterprise and External Engagement

Enhancing the lives of the people of East London and beyond through our recruitment, teaching, research, and public engagement activities.

- Contributions to public engagement initiatives and activities which generate mutual benefit, influencing internal and external priorities and practice.
- Creating partnerships with other organisations, leadership in societal engagement, and demonstrating research impact.
- Enterprise activity facilitating engagement with business and with the third sector, through the practical application of research discoveries and other income-generating activity (including short courses, professional development and executive education)
- Generating intellectual property and protecting it, development of spin-out companies etc.

Professional Practice

- Continuous development and maintaining a reputation in the field of practice.
- Maintaining in-depth technical knowledge, and up-to-date understanding, of developments affecting the practice of the profession.
- Offering consultancy or policy advice to public or regulatory bodies and holding advisory board membership of professional organisations.

Appendix 2 - Strategic priorities

To ensure we are all focused on what is important to Queen Mary your objectives should support one more of the following strategic priorities.

People

Greater student satisfaction	Improving staff engagement	Increasing staff equality and inclusion	Reduce student attainment gap

Recruitment   Education

Increase alumni engagement	Student recruitment that enables us to achieve the 2030 objectives	Improved student progression	Improved career outcomes

Education   Resources

Increased research volume	Increase/maintain research quality	Progress against enabling plans	Improved cash generation

Reputation

Improved academic reputation	Crises management and business continuity	Compliance – H&S, information, immigration (staff and student) CMA, Prevent Duty, OFS	External environment – Auger and Spending review, Pensions and Brexit