

UCL Faculty of Population Health Sciences annual appraisal review checklist

1. Guidance on paperwork

UCL appraisal form - with development plan

Activities	Completed:		
	Yes	No	N/A
<p>Part 1: Review of previous goals, achievements and developmental activities since the last review, including any impact on workload or achievements due to the COVID 19 crisis and lockdown.</p> <p><u>Academic, Teaching & Research Staff appraisals</u> should cover areas under the following headings: Education, Research, Enterprise and External Engagement, and Institutional Citizenship expanded in detail in Appendix 1 which aligns with promotions criteria as per UCL Academic Careers Framework.</p> <p><u>Professional Service Staff appraisals</u> should cover personal and career development.</p> <p>It is recommended that the UCL Ways of Working supporting indicators are selected for discussion at the appropriate grade (applicable to all staff).</p>			
<p>Part 2: Set four dimensional goals for the year ahead (Discover, Deliver, Defer/Discontinue, Demonstrate). Guidance on goal setting and developmental conversations, including illustrative examples, is available on UCL website.</p> <p>The appraiser and appraisee should have an open, supportive two-way conversation in which they both contribute to developing the goals. Goals should be stretching and measurable, ideally recorded in a SMART format so that success can be easily measured in future appraisals.</p>			
<p>Part 3: Summary of any actions required to enable goals to be achieved including membership of staff groups and staff equality networks, reasonable adjustments to support disability or an underlying health condition, review of working pattern.</p> <p>Also identify development needs to enable you to achieve your goals in this section and then provide specific details about training/activity you will undertake in order to succeed it in the development plan (part 7).</p>			
<p>Part 4: State that UCL mandatory learning requirements, including GDPR annual refresher, and disclosure of conflict training have been met and other training (e.g. Information Governance, etc.) is up to date.</p>			
<p>Part 5: Record any additional activities that you are currently involved in, e.g. activity that supports EDI work, committee work, working groups, Communities of Practice, research staff networks, fundraising and philanthropy work. Academic staff should also record any Open Science practices.</p>			
<p>Part 6: Check that your job description is up to date, if not, bring it to the appraisal meeting to discuss changes.</p>			

Activities	Completed:		
	Yes	No	N/A
<p>Part 7: Use this section to identify your training and development needs to achieve your goals and your career aspirations.</p> <p>It is expected that staff will dedicate at least 3 days per year to personal development and learning events. For staff with management responsibilities this should include at least one leadership or management development activity.</p>			
<p>Sign off: The appraisal form is to be completed within 10 working days of the meeting and signed off by the appraisee, appraiser and Institute Director.</p>			
<p>Follow up: The appraisal document should be reviewed at least 3-4 months after the initial appraisal meeting as this provides an opportunity to discuss progress, assess any additional support needs, or adjust goals in line with any changes in work.</p> <p>Schedule the follow up meeting now and record the conversation in the appraisal form.</p>			
<p>A completion of the form must be recorded in MyHR by the line manager or local HR administrator.</p>			

2. Guidance on discussion

Activities	Completed:		
	Yes	No	N/A
<p>Formulating appraisee's 4 dimensional goals for the year ahead. These should reflect UCL Ways of Working that are being extended to all staff. In addition, Academic, Teaching & Research Staff goals should align with Academic Careers Framework. (form part 2)</p> <p>The appraiser and appraisee should have an open, supportive two-way conversation in which they both contribute to developing the goals. Goals should be stretching and measurable, ideally recorded in a SMART format so that success can be easily measured in future appraisals.</p> <p>Follow guidance on setting developmental goals.</p>			
<p>Discussion about UCL's Open access policy (not applicable for Professional Services Staff), including REF requirements, and maintaining an up-to-date record on UCL's Research Publications Service (RPS). (form part 2)</p>			
<p>Discussion about staff's wellbeing and work life balance. UCL's work life balance policy. Discussion about available resources and support via UCL Workplace Health. (form part 3)</p> <p><u>Note:</u> Completing modules within SilverCloud and Sleepio (self-help tools available to UCL staff) counts as personal development and learning.</p>			
<p>Discussion about working arrangements in relation to UCL's Interim Guidance for Staff and Line Managers, including need and opportunities for flexible working. (form part 3)</p>			
<p>Discussion about the requirement for an annual declaration of interest. (form part 4)</p>			
<p>Discussion about relevant career development opportunities, such as leadership schemes, coaching and mentoring (e.g. B-MEntor, Inclusive Advocacy), fellowship schemes, Personal Development Programmes, secondments, and networks. (form part 7)</p>			
<p>Discussion about appraisee's career aspirations and future plans, including different and best ways to achieve this and time-scales. (form part 7)</p>			
<p>Discussion about steps towards academic promotion including timing, with reference to relevant promotions criteria (not applicable for Professional Services Staff).</p> <p>For professional services staff discussion about actions to support career development using UCL Career Frameworks. (form part 7)</p>			
<p>Appraisal recorded by the relevant line manager or a nominated administrator on MyHR</p>			
<p>If there were no discussions about career aspiration, career development and promotion opportunities explain why here:</p>			

This guidance should be used to complement the information on the [Appraisal Review and](#)

[Development Scheme](#) HR webpages which also include appraisal form, training link and further guidance.

Professorial staff should use the guidance on discussion in conjunction with the online [Professorial Appraisal Review](#) (PAR) system to complete appraisal.

[Appraisal scheme for clinical academic staff](#)

UCL FACULTY OF POPULATION HEALTH SCIENCES

Annual Appraisal Review – Guidance for Academic, Teaching & Research Staff

This document is intended to provide guidance on areas of key activities that should be featured in the summary of main achievements in the annual appraisal documentation (note: it is important to cross-reference any previously agreed appraisal objectives/goals) and discussed at the performance review and staff development meeting.

1. EDUCATION

Review the quantity and quality of teaching and learning activities provided to undergraduate and postgraduate taught students and postgraduate research supervision; including:

- The modules the staff member has run/taught on, their role and some indication of quantity (contact hours including teaching, lectures, co-ordination of module)
- Whether there have been significant changes in applications, enrolments or exam results on these modules or programmes that need to be taken into consideration
- Leadership responsibilities as programme director, module or course lead; membership of examination boards and programme committees
- Teaching, learning and assessment activities (e.g. lectures, seminars, tutorials, workshops and masterclasses) provided to undergraduate and taught postgraduate students, including the timeliness and utility of feedback and quality of materials hosted on the VLE
- Formal feedback / evaluation of teaching completed by students; and peer review of teaching*
- Supervision of BSc or MSc projects
- Supervision of research degree students (including use of research logbook, evidence of regular supervision and upgrade and completing studies within the recommended period)
- Whether the staff member is obtaining, has obtained HEA fellowship and at which level, and whether progression to next level is being considered
- Where there are overarching responsibilities like programme lead and director of education, then programme and department NSS/PTES outcomes also matter and should be collected and reflected on. At this level, the staff member should be asked to comment on any recent IQR
- Development of CPD (Life Learning) and related short-courses
- Teaching and learning innovation and professional development
- Invited teaching lectures and other knowledge transfer activities outside UCL

Appraisers should have the Academic Careers Framework (ACF) at hand at appraisal meetings, to guide staff towards promotion. It should be noted that excellence in delivering teaching is generally not enough to get a staff member promoted, and the ACF shows the broad range of educational activities that are helpful in supporting staff progression.

* Note: Module evaluation questionnaires will become policy across UCL from 2021/22, although student satisfaction metrics are currently already available for some modules taught within LMS faculties – Appraisees should contact the relevant Teaching & Learning Manager to find out how the modules they are teaching on perform; Teaching & Learning Managers will also have NSS / PTES scores for each taught programme.

2. RESEARCH

Describe current research activity with a list of current and recently concluded projects.

- Peer reviewed publications during the past year
- REF publication profile (4* / 3* quality requirement, citation counts and Open Access compliance)
- Research grants - successful, pending and unsuccessful (with a note on your own role such as principal investigator/co-investigator, grant body and amount of funding). The expectation is that all staff secure a balanced portfolio of grant income which secures appropriate indirect cost recovery and supports career progression, so specific actions and timeframes should be incorporated into objectives.
- Management of research impact and development of REF Impact case studies
- Membership of committees for grant giving bodies, peer reviewer for journals / conferences
- Invited plenary presentations at conferences
- Evidence of adherence to research governance and integrity – appropriate ethical approvals, data protection procedures and training (e.g. SLMS Introduction to information Governance)

3. ENTERPRISE AND EXTERNAL ENGAGEMENT

Describe any enterprise and knowledge exchange projects / activities that demonstrate the impact of your research or teaching, including:

- Consultancy contracts, patents, spin-outs
- Partnership working with industry – workshops, joint education forums etc.
- Facilitating clinical trial activity
- Public engagement (e.g. involvement with charities, patient groups, media, online resources).

4. INSTITUTIONAL CITIZENSHIP

Describe any activities which contribute to promoting positive collegial behavior cross Department/Faculty, as well as contributing to the effective running of the administration and governance of UCL.

- Serving on departmental, faculty or institutional committees, including selection committees
- Involvement in, or leadership of, culture change within a discipline or department
- Mentoring within your Department/Faculty/UCL
- Advancing equality, diversity and inclusivity for staff and students
- Contributing to local or institutional policy development
- Contributing to intra-departmental or cross-institution strategic activity
- Co-ordinating or leading aspects of the university administrative function as they relate to Department/Faculty