# alan-thompson-oct-2016_final-1-square-1MBAppraisals in the Faculty of Brain Sciences

As Dean, I believe that staff development, reward and recognition are integral to our success. Staff who know that they are supported in their professional development will have the ambition and confidence to achieve, whatever their area of expertise.

We want to be a Faculty who recognises the importance of personal and professional growth and to help our staff realise their full potential at UCL. Appraisals are a key tool in that development.

It is important to ensure that you have an appraisal annually. Appraisals are a great opportunity to discuss with your line manager all your achievements over the last year, as well as any challenges you have faced, or may face in the coming year. They are an opportunity to discuss your aims and aspirations, to plan steps towards your career progression and to determine how we can support you through that process. They are also used to identify opportunities for recognition and reward; and indeed, for promotion.

Please remember that all enabling activity should be taken into consideration at appraisal and promotion, for example, roles which support equality, diversity and inclusion activity should be formally recognised as a contribution.

To support appraisers and appraisees in this process, we have developed some simple guidance on areas that should be discussed as part of the appraisal process for all staff.

|  |  |  |
| --- | --- | --- |
| Relevant For | Item | Page |
| Academic Staff, Researchers & Teaching Fellows | Appraisal Checklist | 2 |
| Appraisal Form[[1]](#footnote-1) | 4 |
| Appendix 1: 1-4 & 6 | 11-13 |
| Professional Services | Appraisal Checklist | 2 |
| Appraisal Form | 4 |
| Appendix 1: 5-6 | 12-13 |
| Appendix 2 | 14 |

This guidance complements the standard UCL procedures and documentation at

* [www.ucl.ac.uk/hr/docs/appraisal\_links.php](http://www.ucl.ac.uk/hr/docs/appraisal_links.php)

I hope you will find this useful and please don’t hesitate to get in touch if you would like to feedback on any particular issues.

Professor ALAN THOMPSON FMedSci, FRCP, FRCPI

**Dean, UCL FACULTY of BRAIN Sciences**

 **UCL FACULTY OF BRAIN SCIENCES, SLMS**

**ANNUAL APPRAISAL, REVIEW & STAFF DEVELOPMENT – CHECKLIST FORM**

This checklist, which is to be used for all staff appraisals, in conjunction with information on the UCL HR website ([www.ucl.ac.uk/hr/docs/staff\_review\_development.php](http://www.ucl.ac.uk/hr/docs/staff_review_development.php) )

|  |  |  |  |
| --- | --- | --- | --- |
| **Activities** | **Completed:** | | |
| **Yes** | **No** | **N/A** |
| **Part A form:** Pre-review should also include current job description or list of responsibilities and a summary of any significant changes that have occurred since the last review. **Academic, research and teaching staff**, as far as they are able, should consider **sections 1-4 and 6 in** **Appendix 1 which align with promotions and re-banding criteria**. **Professional Services staff should consider section 5 and 6 in Appendix 1 and also consult Appendix 2.** |  |  |  |
| **Part B form:** Summary of review discussion, within 10 working days, to include significant achievements, aims and objectives for the year ahead under each key area (1) (as above). Discussion, if relevant, of additional support required to carry out objectives (2). Appraiser and appraise to retain signed record of the meeting. |  |  |  |
| **Part C form:** Learning, training and development should be planned each year. Check that past needs have been met and identify relevant opportunities to meet current needs in the coming year. Ensure mandatory UCL training requirements have been met (3) and that recommended training (e.g. Information Governance, Equality & Diversity) (4)is up to date. |  |  |  |
| **Discussion** about appraisee’s **Career Aspirations** and future plans, including different and best ways to achieve this, and time-scales. |  |  |  |
| **Discussion** about relevant **Career Development** opportunities, eg: leadership schemes, coaching and mentoring (e.g. uMentor), Personal Development Programmes (eg: Aurora, Springboard for Women), and networks (eg: Neuroscience Careers Network, Astrea – UCL’s Network for Women in Professional Services, Association of University Administrators). |  |  |  |
| **Discussion** about steps towards **Promotion**, including timing, with reference to relevant promotions criteria (Academic and Research and Teaching staff only) (5) |  |  |  |
| **Discussion** about possible application for additional **incremental or contributions points** for sustained and exceptional performance (6) |  |  |  |
| **Discussion** about need and opportunities for **Flexible Working** (7) |  |  |  |
| **Discussion** about **UCL’s open access policy***,*including REF requirements (Academic and Research staff only) (8) |  |  |  |
| **Discussion** about the requirement for an **annual declaration of interest** (mandatory for all staff) (9) |  |  |  |
| Appraisal **recorded** on MyView (10) |  |  |  |
| **If there were no discussions about career aspiration, career development and promotion opportunities explain why here:** | | | |

Please see relevant link on next page for further information**Links referred to on p2:**

1. Guidance re setting effective objectives

[www.ucl.ac.uk/hr/docs/appraisal\_smarter.php](http://www.ucl.ac.uk/hr/docs/appraisal_smarter.php)

1. Guidance re additional support required to carry out objectives  
    [www.ucl.ac.uk/hr/occ\_health/eap.php](file://C:\Users\sfaagad\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\L7YR8K5C\www.ucl.ac.uk\hr\occ_health\eap.php)
2. Mandatory UCL training requirements

[www.ucl.ac.uk/hr/od/resources/mandatory\_training.php](http://www.ucl.ac.uk/hr/od/resources/mandatory_training.php)

1. Equality Diversity Training Module

[www.ucl.ac.uk/hr/equalities/training/diversity\_module.php](http://www.ucl.ac.uk/hr/equalities/training/diversity_module.php)

1. Promotions

[www.ucl.ac.uk/hr/docs/proms/index.php](http://www.ucl.ac.uk/hr/docs/proms/index.php)

1. Increment / Contribution points

[www.ucl.ac.uk/hr/docs/accelerated\_and\_contribution\_points.php](http://www.ucl.ac.uk/hr/docs/accelerated_and_contribution_points.php)

1. Flexible Working

[www.ucl.ac.uk/hr/docs/work\_life\_balance.php](http://www.ucl.ac.uk/hr/docs/work_life_balance.php)

1. Open Access Policy, including REF

[www.ucl.ac.uk/library/open-access/ref](http://www.ucl.ac.uk/library/open-access/ref)

1. Annual Declaration of Interest

[www.ucl.ac.uk/hr/services/doir/live/](http://www.ucl.ac.uk/hr/services/doir/live/)

1. Appraisals

<http://www.ucl.ac.uk/slms/slms-intranet/human-resources/accordion/RecordingAppraisalDates>

small_ucl_logo_blk **Appraisal, Review and Development Scheme**

**Please complete all sections of this form: Sections A, B, C and D (if applicable), and the Checklist; please carefully refer to Appendix 1 and 2 (Professional Service staff only)**. Copies of all sections of this form should be stored securely in the department (see section 23 of the policy).

|  |  |
| --- | --- |
| Name of reviewee: |  |

|  |  |
| --- | --- |
| Post: |  |

|  |  |
| --- | --- |
| Department / Division: |  |

|  |  |
| --- | --- |
| Date of appointment to  present post: |  |

|  |  |
| --- | --- |
| Name of reviewer: |  |

|  |  |
| --- | --- |
| Date of meeting: |  |

**N.B. A job description or list of responsibilities and a summary of any enhancements to your CV since the last review should be attached to Part A of the form.**

**PART A**

**To be completed by the individual Reviewee and passed to the Reviewer at least 5 working days before the review meeting.**

1. A summary of your main achievements in relation to your aims, objectives for the review period and any significant changes in your responsibilities since the last review (or in the previous 12months if there has not been a previous review).

|  |
| --- |
|  |

1. A summary of any factors affecting achievement of your aims and objectives or your contribution to the work of the department over the review period. If any reasonable adjustments have been implemented, include a review of their effectiveness and any further support anticipated in the coming review period.

|  |
| --- |
|  |

3. Major activities, tasks and priorities anticipated in the coming review period and any training or other support that you will need to assist you in achieving them. In planning your priorities and development activities for the coming period you should take account of UCL’s management competencies and expectations regarding academic excellence, as they relate to your role.

|  |
| --- |
|  |

**PART B**

Summary of discussion - to be completed by the Reviewer following the meeting.

1. Significant achievements since the last review.

|  |
| --- |
|  |

1. Aims and objectives not achieved, any factors that have affected the achievement of objectives and, if appropriate, actions agreed to reduce the impact of such factors in future.

|  |
| --- |
|  |

3. Objectives agreed for the coming review period – these should address all major elements of the Appraisee’s responsibilities and areas for development in light of UCL’s expectations regarding management competencies and academic excellence, as they relate to the role.

|  |
| --- |
|  |

**PART B (continued)**

4. Any actions that may be required within the department/division (or elsewhere) to enable aims and objectives to be achieved, including any additional reasonable adjustments.

|  |
| --- |
|  |

|  |  |
| --- | --- |
| Signed:  (Reviewer) |  |
| Date: |  |

I have read the comments made by the Reviewer. I have nothing further to add/I wish to add the following: **(To be completed by Reviewee)**

|  |
| --- |
|  |

|  |  |
| --- | --- |
| Signed:  (Reviewee) |  |
| Date: |  |

# PART C

All staff are expected to undertake three learning and development events per year and managers are expected to undertake management development training each year, taking account of the relevant expectations of UCL management competency and academic excellence.

After completion by the Appraiser, both the Appraiser and Appraisee should retain a copy of Part C and use it to identify appropriate training and development activities. A record of the appraisal review should be updated locally by either the relevant line manager or a nominated administrator using the MyView function: <http://www.ucl.ac.uk/myview/>

This form should not be sent to Organisational Development, but retained locally and used as the basis for discussion and agreement as to how identified training and development needs are prioritised and addressed.

**During the course of the review meeting the following areas of training and/or development need have been identified. (Please be as specific as possible).**

This section should include any training identified to improve performance in the current role or development aimed to equip the Appraisee to undertake a broader, different or more senior role.

# Description of training and development needed

|  |
| --- |
|  |

# Target date

|  |
| --- |
|  |

**For guidance on available training please consult the Organisation Development website and current UCL course publicity material:**

**Organisation Development, 1-19 Torrington Place, UCL**<http://www.ucl.ac.uk/hr/osd/>  
Contact [od@ucl.ac.uk](mailto:od@ucl.ac.uk)

**Information Systems Training Unit**<http://www.ucl.ac.uk/is/training/staff/> and <http://www.ucl.ac.uk/elearning/>  
Contact Makeba Adero: [is-courses@ucl.ac.uk](mailto:is-courses@ucl.ac.uk)

**Safety Services Training**<http://www.ucl.ac.uk/estates/safetynet/>

Contact Melissa Singleton: [safetytraining@ucl.ac.uk](mailto:safetytraining@ucl.ac.uk))

**Summary and evaluation of training and development activities undertaken since the last review (if none, please make that clear):**

|  |
| --- |
|  |

To be signed by the following:

|  |  |
| --- | --- |
| Appraisee’s signature: |  |
| Appraisee’s name: (please print) |  |
| Department/Division: |  |

|  |  |
| --- | --- |
| Appraiser’s signature: |  |
| Appraiser’s name: (please print) |  |
| Department/Division: |  |
| Date of review meeting: |  |

|  |  |
| --- | --- |
| Head of Department / Division’s Signature: |  |
| Date: |  |

**PART D**

Form to be used in the event of a disagreement between Reviewer and Reviewee regarding the content of a completed Staff Review Form.

Reviewee's name

Reviewer's name

Department

Please outline your areas of concern regarding the completed Staff Review document

Reviewee's signature

Date

I note that the above named Reviewee wishes to raise concerns regarding his/her Staff review

Reviewer's signature

Date

Once this form is completed and signed it should be forwarded with a copy of the completed review documentation (parts A, B & C) to the Reviewer's line manager, who will meet with the Reviewer and Reviewee and consider the Reviewee's concerns.

**Appendix 1**

**UCL FACULTY OF BRAIN SCIENCES**

**Annual Appraisal and Review – Guidance for Academic, Teaching & Research and Professional Services 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) and discussed at the performance review and staff development meeting.

Academic, research and teaching staff should use this guide alongside the **Academic Careers Framework**: <http://www.ucl.ac.uk/hr/docs/proms/UCL-Academic-Careers-Framework171017.pdf>

**1. TEACHING AND SUPERVISION**

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

* 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
* Supervision of BSc or MSc projects
* Development of CPD (Life Learning) and related short-courses
* Teaching and learning innovation and professional development
* Formal feedback / evaluation of teaching completed by students; and peer review of teaching
* Supervision of research degree students (including use of research logbook, evidence of regular supervision and upgrade and completing studies within the recommended period)
* Invited teaching lectures and other knowledge transfer activities outside UCL.

**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)
* 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 KNOWLEDGE TRANSFER**

Describe any enterprise and knowledge transfer 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. LEADERSHIP, MANAGEMENT AND ENABLING**

Describe leadership locally through management of research programmes, and management and development of colleagues; contributions to Department/Faculty/UCL governance; membership of local, regional and national bodies and committees. This can include:

* Management of staff, carrying out annual appraisals and providing constructive feedback
* Evidence of ability to mentor, develop and motivate colleagues
* Equality and diversity activities (e.g. Athena SWAN)
* Working as part of a team to achieve Departmental, Faculty or University goals
* Service delivery and customer satisfaction (students, academics, researchers, professional services staff colleagues, within your Institute/ Division, Faculty, School and University wide. Also consider external stakeholders and customers)
* Significant contribution to the academic or Professional Services leadership of a Unit / Centre / Research Department or Research Facility
* Leadership/membership of local, national, international committees and societies
* Evidence of contributions to peer review bodies/committees, professional organisations, learned societies, government committees or Research Councils, Faculty/ School/ University Committees etc.

**5. PROFESSIONAL SERVICES ROLES**

Consider your job description and the relevant job family role profile. Think about things that you have done which you have not already detailed in your objectives but have been significant and have possibly been new to you: what were those key achievements and what challenges did you face? For example, you should consider any enabling activities such as mentoring, or supporting equality and diversity initiatives (such as Athena SWAN). How have you, your team and your customers benefited from completing this work?

**6. PERSONAL AND CAREER DEVELOPMENT, AND TRAINING REQUIREMENTS**

Planning ahead for learning and development/professional development is a key aspect of the appraisal. It is recommended that each staff member has a personal development plan.

It is key that reviewees form a view on their key priorities for areas of development with a clear link to their job performance and career development. Development is a negotiated and agreed aspect of the appraisal. Consider your job role, opportunities, anticipated changes and challenges. Consider feedback you have received over the past review period, areas you would like to develop further and areas of interest. This is an opportunity to share your thoughts on key aims and other relevant plans that would be useful to discuss with your reviewer. Look beyond the forthcoming year what are your longer-term career plans? What needs to happen to help you to fulfil these plans?

Consider your CPD needs and/or career aspirations. Think about the broad range of learning and development opportunities you have experienced within the review period and/or that you should consider for the next year; this may be a formal, more traditional session through to on-the-job experience/s and/or expanding your experience or knowledge through new tasks/projects, attending events, etc. What did you do to develop yourself over the past review period? Have you attended any courses offered through UCL or through an external course provider? Have you received any mentoring or coaching within your role; would this help you within your role? Have you been involved in any teambuilding events? What University events have you attended? Have you been involved in any committee work or project work which has resulted in increased knowledge or new approaches to working? Highlight anything which you have been involved in which is outside your standard job role which has resulted in you acquiring new skills.

Consider reviewing local strategic plans and/or operational plans which may give clarity on priorities and opportunities.

Professional Services staff should consult useful networks such as AUA (<https://aua.ac.uk/> ), AMRA (<https://www.arma.ac.uk/> ), CABA (<http://www.charteredaba.org/> ), CMI (<http://www.managers.org.uk/> ); discuss whether you would like to become a member and whether your Department would support your membership fee.

The appraisal scheme for clinical academic staff is outlined at: [www.ucl.ac.uk/hr/docs/appraisal\_ca.php](http://www.ucl.ac.uk/hr/docs/appraisal_ca.php)

The appraisal scheme for non-clinical professorial staff is outlined at: [www.ucl.ac.uk/par/](http://www.ucl.ac.uk/par/)

**Appendix 2**

**Professional Services Roles Example of SMART Objectives**

*This list has been composed for illustration and support purposes only and is not exhaustive.*

**Administrative and Managerial roles**

Objectives relating to service provision within the department, to a particular project, to the provision of management information or to the accuracy and timeliness of work, for example:

* To improve procedures for monitoring student attendance and for collecting student assignments in consultation with colleagues by x date
* To write a paper for the Head of Department detailing the impact of x to x area of activity by x date
* To develop a policy in relation to a particular subject area and associated procedures for review by the Head of Department by x date
* To review administrative procedures for conference attendance with relevant colleagues to ensure consistency of approach across the department by x date
* Reduce the down time of IT applications by x per cent by x date
* To review the department’s filing systems and make recommendations for improvement to the Head of Department by x date
* To write a paper for the Head of Department detailing the departmental strategy statement by x date
* To implement a new enquiry process in order to improve the service provided to potential applicants within the next x months
* To co-ordinate x number of events by x date
* To review the administrative process for x committee by x date to improve the experience for committee members and enhance the decision making process
* To review the systems for financial monitoring and propose improvements to line manager/Head of Department by x date
* To prepare a format for management information reports in relation to x to inform the decision-making of x by x date
* To improve student support by acting as point of contact in relation to x issues, responding to queries within x timescale
* To put in place new/enhanced marketing and communication mechanisms in relation to student recruitment activities for x (e.g. international students) by x date
* Establishing/review web pages in relation to x and publish and promote these by x date
* Ensure that administrative processes in relation to grant approval and award monitoring are adhered to
* Ensure that budget management procedures are followed by submitting quarterly reports to x
* To ensure mail is delivered to departments by x time each day
* To ensure that all student enquiries are dealt with within x days
* To improve customer satisfaction ratings regarding response times from x per cent to x per cent by x date

**Technical and Lab Management roles**

Objectives relating to safety or legal requirements or to the use of specialised equipment, for example:

* To produce an up to date inventory of all laboratory equipment in the department by x date
* To set up a rota to service the department’s machinery within the next x months
* To increase the accuracy of instrumentation data by x per cent by x date
* To rewrite the Health and Safety Policy document for the department within the next x months
* To review the stock monitoring system and propose improvements to the Head of Department within the next x months
* To produce written guidance on the use of a particular piece of equipment by x date
* To produce recommendations for improving the service provision for academic staff/researchers in a particular specialism by x date
* To develop and deliver training for other technical staff on x subject by x date
* To review the demonstration techniques for students on x area of expertise by x date
* To contribute to the department’s knowledge exchange activity by developing/delivering x service/facility/training and liaising with external contacts to attract business/establish customer needs
* Supervise the practical projects of students in relation to x, ensuring that the students understand how to safely operate the necessary equipment and monitoring progress to support the students in completing the project to deadline
* Risk assess activity x and implement any necessary process improvements by x date
* Establish SOPs in relation to x activity by x date.
* To increase recycling by x per cent over the course of the year
* To reduce the number of reportable health and safety incidents by x per cent by the end of the year
* To ensure that x area is cleaned by x time each day
* To lock up x buildings by x time each day
* To ensure that x number of orders are delivered as per customer requests
* To review the stock monitoring procedures and suggest improvements by x date
* To ensure incident reports are submitted by x time after the event
* To provide on the job training to a specific person by x date.

1. Except 1) Non-Clinical Professors who will use PAR: <http://www.ucl.ac.uk/management-systems/msapps/par/>; and 2) Clinical Professors, Readers and Senior Lecturers (Hon. Consultants): <http://www.ucl.ac.uk/hr/docs/appraisal_ca.php> [↑](#footnote-ref-1)