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**LONDON’S GLOBAL UNIVERSITY**

# Appraisal Review and Development Scheme

**Academic, Research and Teaching Staff**

UCL Appraisals should take place every 12 months (following successful completion of the probationary period of employment). Wherever possible, they should be carried out in line with the UCL Annual Appraisal Season which runs from January to April of each year. The UCL Annual Appraisal Season is designed to drive improved uptake of appraisals and enable better reporting across the organisation, to ensure that all staff have an opportunity to review and develop their performance/skills.

Prior to completing this process, both the appraiser and appraisee should visit the [Appraisal, Review and Development Scheme Resources webpages](https://www.ucl.ac.uk/human-resources/policies-advice/appraisal-review-and-development-scheme) for further guidance and access to on-line learning resources. The appraisee should also complete Part A and the appraisee checklist (located at the end of the document) before sending the completed appraisal to the appraiser (at least 5 days before the appraisal meeting).

Staff on academic, research or teaching contracts, should refer to the [Academic Careers Framework](https://www.ucl.ac.uk/human-resources/policies/2021/oct/academic-career-framework) which brings together typical activities, networks, and impact indicators. It seeks to describe and codify the types of activity that may feature within an academic career, at an individual grade, and across grades over time. These descriptions can be used to support appraisal discussions and by those preparing a [case for promotion](https://www.ucl.ac.uk/human-resources/policies-advice/academic-careers-framework-and-promotions-processes/academic-promotions-guidance).

The Appraisal Review form is strictly confidential and must be stored securely within the Department. It should be accessible only to the appraiser, the appraisee, and the Head of Department or the Head of Section (where they are not the appraiser). The appraiser should provide a copy to the appraisee and record the completion in MyHR to support compliance reporting. A guide on how to record appraisals can be found [here](https://www.ucl.ac.uk/human-resources/sites/human_resources/files/recording_appraisals_in_myhr.docx).

Appraisees should consider whether their current job description is up to date. If not, they should bring it to the appraisal meeting for discussion. If a copy of the job description is not available, line managers, departmental HR leads, or HR Business Partners (HRBPs) should be able to access a copy.

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| **Name of Appraisee:** |  |
| **Post:** |  |
| **Division / Department:** |  |
| **Date of appointment to present post:**  |  |
| **Name of Appraiser:** |  |
| **Date of appraisal meeting:** |  |

**Part A: Review of the last year**

Appraisee to complete in advance of the appraisal meeting.  The information captured in Part A (and the optional checklist located at the end of the form) will inform your appraisal conversation

## Pre-Appraisal Meeting Notes

## Summarise progress against the goals set in your previous appraisal relating to research, education, enterprise and external engagement, and citizenship. The balance between the four categories of activity will vary depending on your position, but please enter “N/A” if an activity does not relate to your role.

## Include your relevant achievements, and any developmental activities since the last review. You should reflect on *how* you have made this progress as well as *what* you have achieved. Although examples of related activities have been provided on each of the categories highlighted below, employees should refer to the [Academic Career Framework](https://www.ucl.ac.uk/human-resources/sites/human_resources/files/academic_careers_framework.pdf) for further information and explanation.

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| 1 - Research activity covers all aspects of the creation and application of new knowledge, however that manifests itself within your discipline or disciplines. This includes the production and dissemination of research outputs, open research, research integrity, researcher development, and enabling and leading research activities. |
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| **2 - Education** activity refers to any activities which support student learning, including establishing new modules, programmes and short courses, developing subject materials, curriculum development and learning design, personal tutoring. |
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| **3 - Enterprise & External Engagement** covers a wide range of predominantly externally directed activities, and, in particular, knowledge exchange activities directed at collaboration with agencies and stakeholders outside of academia, including businesses and the public, to realise the impact/benefits of research. |
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| **4 - Institutional Citizenship** covers any activities which contribute to promoting positive collegial behaviour across a department or faculty; as well as contributing to the effective running of the administration and governance of UCL. |
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1. **Professional Development activity**

Please record any development activity you have undertaken since your last appraisal.

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| **Details of development activity undertaken** |
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Please record any development activity you would like to undertake over the next 12 months.

In line with the [Researcher-Development Concordat](https://www.ucl.ac.uk/human-resources/sites/human_resources/files/researcher-development-concordat_sept2019.pdf), UCL will provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days (pro rata for part-time staff) to professional development per year. The UCL [Organisational D](https://www.ucl.ac.uk/human-resources/learning-and-development)evelopment pages are a good starting point to explore development opportunities at UCL.

Teaching staff may refer to the [Teaching Concordat](https://www.ucl.ac.uk/human-resources/teaching-concordat) for guidance on support to engage in personal development activities.

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| **Details of planned development activity** |
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1. **Mandatory Training**

To keep colleagues safe and well at work, all staff at UCL must be compliant with [mandatory training requirements](https://www.ucl.ac.uk/human-resources/organisational-development/training-inductions-and-leadership/mandatory-training). You may also have mandatory training that is specific to your role (e.g., Safety and Fire in labs).

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| Please check your [LearnUpon](https://eur01.safelinks.protection.outlook.com/?url=https%3A%2F%2Fucl.learnupon.com%2Fsaml%2Finit%3Fredirect_uri%3D%2Fdashboard%3Fdisplay%3Dmy_courses&data=05%7C01%7Cl.fahad%40ucl.ac.uk%7Cd1ee33cd15e14d83083108da59c61388%7C1faf88fea9984c5b93c9210a11d9a5c2%7C0%7C0%7C637921004505180342%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=hfumUQvlPHZWfotJPywkgHAUy%2FmXiXc2NUGrHnoQnw0%3D&reserved=0) record to ensure you are compliant. Are you up to date with your Mandatory Training?  | **Y or N** |

**4.** **Declarations of Interest**

Senior staff (Grade 10 staff, Heads of Department, and other senior members of staff) [are required to submit an annual declaration of interests](https://www.ucl.ac.uk/enterprise/about/governance-and-policies/ucl-disclosure-conflict-and-declaration-interest-policy) every year through the ['Declaration of Interest' feature in Inside UCL.](https://app.ucl.ac.uk/InsideUCL/DeclarationOfInterest)

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| Have you submitted your annual Declaration of Interests for the current declaration year (1 August to 31 July)? | **Y, N or N/A** |

**5. Disclosures of Conflict**

UCL staff [must make a conflict of interest disclosure](https://www.ucl.ac.uk/enterprise/about/governance-and-policies/ucl-disclosure-conflict-and-declaration-interest-policy) as soon as there is a risk that a conflict or potential conflict might arise or be perceived.

If you have a conflict of interest, you must disclose it on the ‘UCL Manage Conflicts and Declare Interests’ system (accessed via [www.ucl.ac.uk/myhr)](https://www.ucl.ac.uk/myhr) and develop a conflict management plan to mitigate the risks to you and UCL.

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| Have you disclosed a conflict of interest and developed a conflict management plan?  | **Y, N or N/A** |

**Part B: Planning for next year** (To be completed in discussion during the appraisal meeting)

1. **Setting Objectives**

Use the next box to set out your objectives for the coming review period. These should be agreed in the appraisal and reviewed regularly in 1-1s.

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| **Objectives for the next 12 months** With reference to the relevant grade in the [Academic Careers Framework,](https://www.ucl.ac.uk/human-resources/policies/2021/oct/academic-career-framework) describe the ways in which you will deliver impact in relation to research, education, enterprise and external engagement, and citizenship activities. Use the SMART goal structure if helpful. |
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## Support arrangements for the yearPlease use this section to record any specific support arrangements discussed and agreed for the next 12 months.

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## Summary of appraisal conversation

(Appraiser to record key points of the discussion after the meeting)

**Part C: Appraisal Sign-off**We do not require an electronic signature on this document. By adding your name this signifies your sign off. Please make sure the appraisee has ‘signed off’ on the appraisal before the appraiser and Head of Department finalise the form.

Please review the appropriate checklists below prior to signing off this form.

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| **Name of Appraisee:** |  | **Date** |  |
| **Name of Appraiser:** |  | **Date** |  |
| **Name of Head of Department:** |  | **Date** |  |

Once sign-off is complete, please record the completion in MyHR. A guide on how to record appraisals can be found [here](https://www.ucl.ac.uk/human-resources/sites/human_resources/files/recording_appraisals_in_myhr.docx).

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| In the event of a disagreement between the Appraiser and Appraisee regarding the content of the completed appraisal form, please complete the following form and submit this to the HoD.[Request to review Appraisal process](https://www.ucl.ac.uk/human-resources/sites/human_resources/files/request_to_review_appraisal_process.docx) |

**Checklists for Appraisee and Appraiser**

Appraisee and appraiser to review the appropriate checklist and respond to the questions as appropriate. The hyperlinks will take you to pages on the UCL website which you may find helpful to review ahead of the appraisal meeting. It is not essential that all the pages are reviewed.

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| **Checklist for the appraisee** (Complete this section before your appraisal meeting) | **Answer** **Y or N** |
| **Career and Development Planning**You can develop a [professional development plan](https://www.ucl.ac.uk/human-resources/sites/human_resources/files/professional_development_plan_final_19.12.22.docx) for use throughout your career at UCL. Details of appraisals and [career conversation](https://liveuclac.sharepoint.com/sites/UCLTalent/SitePages/Career-Conversations.aspx) can be recorded here. |
| **Development/Support Needs** |
| During the appraisal meeting, do you wish to discuss any of the following? |
| * A review of your working pattern?
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| * [Adjustments Passport](https://www.ucl.ac.uk/equality-diversity-inclusion/equality-areas/disability-equality/what-reasonable-adjustment/adjustments-passport) to record any [reasonable adjustments](https://www.ucl.ac.uk/equality-diversity-inclusion/equality-areas-and-support/disability-equality/defining-disability-and-reasonable-adjustments) and flexible working arrangements?
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| * Any [wellbeing or mental health](https://www.ucl.ac.uk/human-resources/workplace-health) concerns?
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| * Support to actively [manage your career](https://www.ucl.ac.uk/human-resources/organisational-development/tools-career-development-and-progression) aspirations and future plans?
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| * Specific support for [researcher development](https://www.ucl.ac.uk/human-resources/learning-development/learning-academy/researcher-development)?
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| * Support to access the [UCL Arena Fellowships](https://www.ucl.ac.uk/teaching-learning/professional-development/arena-fellowship)?
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| * Membership of [staff networks and groups](https://www.ucl.ac.uk/human-resources/pay-benefits/staff-networks-and-groups)?
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| * Access to [staff equality networks](https://www.ucl.ac.uk/human-resources/staff-equalities-networks)?
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| * [Coaching or Mentoring](https://www.ucl.ac.uk/human-resources/learning-development/coaching-mentoring-and-team-development) support?
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| * Support to attend conferences or events (internal or external)?
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| * Request for [Accelerated Incremental Progression or Award of Contribution Point](https://www.ucl.ac.uk/human-resources/accelerated-incremental-progression-or-award-contribution-point-procedure)?
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| * [Academic Promotions](https://www.ucl.ac.uk/human-resources/policies-advice/academic-careers-framework-and-promotions-processes/academic-promotions-guidance)?
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| **Checklist for the appraiser**(Complete this section before the appraisal meeting) | **Answer** **Y or N** |
| **Career and Development Planning**Appraisal conversations and personal development planning to create a series of regular and joined-up career and development conversations. These conversations should help you give feedback and discuss the value the person brings to the team, understand the aspirations of the appraisee, what development or support they may need to sustain or enhance their performance against agreed objectives. |
| * Do you conduct regular 1-1s with the appraisee?
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| * Have your recently conducted a [career conversation](https://liveuclac.sharepoint.com/sites/UCLTalent/SitePages/Career-Conversations.aspx) with the appraisee and encouraged them to start to complete a development plan?
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| * If not, when are you planning to do this?
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