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**LONDON’S GLOBAL UNIVERSITY**

# Appraisal Review and Development Scheme

**Professional Services 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 and 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).

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 your three most important goals and relevant achievements since the last review. You should focus on *how* you have performed as much as on *what* you have achieved.

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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.You should dedicate at least 3 days per year (pro rata for part-time staff) to professional development and learning events, which should be booked through MyHR. The [UCL Organisational Development](https://www.ucl.ac.uk/human-resources/learning-and-development) pages are a good starting point to explore development opportunities at UCL.

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| **Details of planned development activity** |
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1. **Institutional Citizenship activity**

Please record any additional activities that you are currently involved in e.g., EDI related activities, Communities of Practice, Mental Health First Aider, working groups, staff networks, fundraising and philanthropy work.

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| **Details of Institutional Citizenship 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** |

1. **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** |

1. **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. **UCL Goal Setting**

Use the [UCL goal setting model](https://www.ucl.ac.uk/human-resources/policies-advice/appraisal-review-and-development-scheme/resources-support-annual-appraisals) to create a set of goals for the coming year. This discussion should include reflection on development needs, working behaviours, and value of ongoing tasks. Goals should be agreed during the appraisal meeting and reviewed regularly in 1-1 [developmental conversations](https://www.ucl.ac.uk/human-resources/sites/human-resources/files/principles_of_developmental_conversations_0.pdf).

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| **1 - Deliver** onyour department’s priorities. These goals will typically capture the contribution you will make this year. Use the SMART (Specific, Measurable, Attainable, Realistic, Timebound) goal structure if helpful.  (UCL recommendation: identify 1-3 goals – [example here](https://www.ucl.ac.uk/human-resources/sites/human_resources/files/goals_examples_deliver.docx)) |
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| **2 - Discover** your potential. This goal helps you build and develop your skills. Highlight any knowledge gaps and development needs relevant to your career ambitions. Remember, development could include taking on a relevant project, joining a network or a Community of Practice, as well as formal training.  (UCL recommendation: identify 1 goal – [example here](https://www.ucl.ac.uk/human-resources/sites/human_resources/files/goals_examples_discover.docx)) |
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| **3 - Defer or discontinue** activities that do not add value, or those which provide minimal benefit to your role’s purpose or UCL strategy. Also consider activities that may be resource intensive but low impact.  (UCL recommendation: **if relevant,** identify 1 goal – [example here](https://www.ucl.ac.uk/human-resources/sites/human_resources/files/goals_examples_defer.docx)) |
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| **4 - Demonstrate** how you work effectively. Consider how you work as an individual, interact with others and connect to the wider institution. Use the [Ways of Working](https://www.ucl.ac.uk/human-resources/policies-advice/ways-working) performance indicators to support this discussion.  (UCL recommendation: identify 1 goal – [example here](https://www.ucl.ac.uk/human-resources/sites/human_resources/files/goals_examples_demonstrate.docx)) |
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| **Optional** Please enter any other goals that you wish to record or any support that may be needed for you to achieve your goals. |
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## Summary of appraisal conversation and appraiser’s comments

(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 date 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 create a [personal 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 appraisal 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 or flexible working arrangements? |  |
| * [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? |  |
| * Any [wellbeing or mental health](https://www.ucl.ac.uk/human-resources/workplace-health) concerns? |  |
| * Support to actively [manage your career](https://www.ucl.ac.uk/human-resources/organisational-development/tools-career-development-and-progression) aspirations and future plans? |  |
| * Membership of [staff network and groups](https://www.ucl.ac.uk/human-resources/pay-benefits/staff-networks-and-groups)? |  |
| * Access to [staff equality networks](https://www.ucl.ac.uk/human-resources/staff-equalities-networks)? |  |
| * 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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| **Checklist for the appraiser**  (Complete this section before the appraisal meeting) | **Answer** |
| **Career and Development Planning**  While the appraisal is an annual event, you should be having more regular career conversations and 1-1 meetings with your direct reports to create a series of regular and joined-up career and development conversations. These conversations help you to 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 while also keeping updated as to their performance against agreed objectives. | |
| * Do you conduct regular 1-1s with the appraisee? |  |
| * If not, when do you plan for these to commence? |  |
| * Have you conducted an annual [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? |  |
| * If not, when are you planning to do this? |  |