

UCL FACULTY OF LIFE SCIENCES: [UCL Appraisal, Review and Development Scheme](#)

Guidance for Academic, Teaching, Research and Professional Services & Technical Staff

Appraisals should be held on an **annual** basis for all staff not on probation. This guidance is intended to highlight areas of key activity that should be featured in Part A of the appraisal form; these should be discussed at the appraisal, review and staff development meeting and referenced on Part B and Part C of the form following the appraisal meeting. Equivalent sections are included on the abridged (short) appraisal form. These should be included in the equivalent fields on the PAR online appraisal system for non-clinical Professors www.ucl.ac.uk/par/.

Full details of the level and type of activity expected for academic, teaching and research staff (by grade) are provided in the Academic Careers Framework <http://www.ucl.ac.uk/hr/docs/proms/UCL-Academic-Careers-Framework171017.pdf>

Professional Services staff should primarily focus on section 5 of this document, plus section 4 if appropriate.

Please use the FLS checklist on page 5 when conducting the appraisal meeting.

Staff should be encouraged to put together a personal development plan (PDP). An exemplar PDP is included on page 4. The UCL Ways of Working <https://www.ucl.ac.uk/human-resources/policies-advice/ways-working> or Core Behaviours Framework <https://www.ucl.ac.uk/human-resources/policies-advice/core-behaviours-framework> should be considered during the appraisal itself and when developing a PDP.

Information about the UCL appraisal scheme, including the appraisal form, can be found on the HR website <https://www.ucl.ac.uk/human-resources/policies/2021/feb/appraisal-review-and-development-scheme>

Information about [clinical academic staff appraisal](#) is also available on the UCL website.

1. EDUCATION AND TEACHING

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

- Leadership responsibilities and development/enabling roles i.e. Programme Director, local Head of Teaching, local Divisional Teaching lead, local module or course lead module. Including effective management of teaching staff or developing and/or mentoring teaching staff
- Membership and/or Chair of local Examination Boards or Teaching Committees or staff-student consultative committee
- 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
- Impact as Personal Tutor
- Development of CPD and related short-courses
- Teaching and learning innovation and professional development; contribution to curriculum reform, teaching technologies, assessment techniques,
- Strong student satisfaction from formal internal evaluations from students, responsiveness to student feedback
- Peer review of teaching

- Invited teaching lectures and other external knowledge transfer activities; at senior levels may include advisor to government on education policy and practice, leadership of national curriculum reform

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* or 3* requirements, citation counts and Open Access compliance)
- Research grants or fellowships - 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
- Successful supervision of PhD students (including use of research logbook, evidence of regular supervision/upgrade/completion within the recommended periods). If appropriate, assisting with career planning.
- Membership of committees for funding bodies, select committees, peer reviewer for journals/conferences, keynote speaker invitations
- Disseminating research findings at conferences/invited plenary presentations at conferences
- National/international reputation
- Evidence of adherence to research governance and integrity - appropriate ethical approvals, data protection procedures and training (e.g. SLMS Introduction to Information Governance)

3. INNOVATION, ENTERPRISE AND EXTERNAL ENGAGEMENT

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 (including advice to) industry, healthcare, policy or other similar organisations (workshops, joint education forums etc.)
- Facilitating clinical trial activity
- Delivery (or development/design of) of short courses for professional development
- Public engagement (e.g. involvement with charities, patient groups, media, online resources)
- Media or policy debate related to subject area

4. INSTITUTIONAL CITIZENSHIP, LEADERSHIP AND ENABLING

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

- Management of research, teaching staff and other colleagues, carrying out annual appraisals and providing constructive feedback
- Evidence of ability to mentor, develop and motivate colleagues
- Proactively working as part of a team to achieve Divisional, Faculty, School or University goals
- Significant contribution to the academic leadership of a Unit, Centre, Research Department or Research Facility
- Leadership/membership of internal (Divisional, Faculty, School, UCL) committees and societies and/or national, international committees and societies
- Evidence of contributions to peer review bodies/committees, professional organisations, learned

societies, government committees or Research Councils etc.

- Impact through Athena SWAN, Race Equality Charter, Disability Standards or other EDI activity

5. PROFESSIONAL SERVICES STAFF

Consider expectations of role in relation to grade and level of responsibility.

- Ensure SMART objectives are agreed which are separate to the training needs set out in part C
- If responsible for other staff in a supervisory, management or leadership role, evidence of good management skills and leadership plus potential for further development and understanding of the people implications and HR requirements
- Consider development opportunities and career progression/aspirations and retirement if appropriate
- Consider how value is added and activity enabled, and how the individual supports the teaching/research/enterprise activities of their respective Faculty/Division/Research Department
- If consideration may be given to additional reward based on performance the appraisal must demonstrate that a set of stretching objectives have been exceeded, over and above the usual requirements of the role for a minimum period of 6-12 months
- Effectiveness as a team member and a team leader if applicable
- Evidence of collegiate approach and developing the UCL community; additional activities at Divisional, Faculty, School or UCL level
- Discuss any changes to the role either planned or that have already taken place including workload and working arrangements
- The appraisal should be fair, open and honest including discussion of any challenging situations

February 2021

Faculty of Life Sciences: Personal Development Plan Exemplar

Surname		Forename	
Role		Grade	
Division (and if relevant Research Department)		Date Commenced Role	

Development Required	How Met	Target Date	Date Achieved
Signature of Staff Member		Date	
Signature of Manager/Appraiser		Date	

UCL FACULTY OF LIFE SCIENCES: APPRAISAL, REVIEW AND DEVELOPMENT CHECKLIST

Name & signature of reviewee:		Name & signature of reviewer:	
Appraisal Date:		Date signed-off:	

* Parts A, B, & C refer to the full version of the UCL appraisal form, equivalent sections are included on the abridged (short) form

Please refer to the separate FLS appraisal guidance document which also includes reference to promotion criteria	Yes	No	N/A
* Part A: Include current job description or list of responsibilities and, if appropriate, a summary of any significant changes to the CV that have occurred since the last review under the headings: Research, Education, Innovation, Enterprise and External Engagement, Institutional Citizenship.			
* Part B: Include UCL Ways of Working/Core Behaviours during discussion https://www.ucl.ac.uk/human-resources/policies-advice/ways-working & https://www.ucl.ac.uk/human-resources/policies-advice/core-behaviours-framework Summary of review discussion, within 10 working days, to include achievements, aims & objectives not achieved, any factors affecting this & actions to reduce the impact in future, objectives for the future. Both appraiser and appraisee should retain a signed copy.			
* Part C: Learning, training and development is expected each year. Check past needs have been met and identify and list relevant needs/opportunities for the coming year. Ensure training is up to date on EDI. Details about UCLs mandatory training for staff are on the UCL website. https://www.ucl.ac.uk/human-resources/learning-development/mandatory-learning			
Discussion about appraisee's Career aspirations and future plans, including different and best ways to achieve this and timescale.			
Discussion about relevant Career development opportunities, such as leadership schemes, coaching and mentoring (local mentoring scheme or uMentor), Personal Development Programmes, Aurora, Women in Leadership.			
If relevant has a mentor been appointed? If yes, please note when.			n/a
Discussion about Teaching (if applicable); including load, peer review and student evaluation & feedback.			n/a
Discussion about Promotion if applicable; including timing and review of promotion CV.			n/a
Discussion about possible application for reward (additional increments, contribution points or one-off payments) see <i>FLS guidance November 2021</i> .			
Discussion about need and opportunities under UCL Work Life Balance Policy .			
Discussion about the UCL open access policy including REF requirements			
Requirement for annual disclosure of Conflict & Declaration of Interest to be completed each financial year 1 st August to 31 July. Please see website for who is required to complete this, MyHR is used for disclosure/no conflicts submission.			
Appraisal recorded on MyHR			
If no discussion about career aspirations, development, promotion explain why here.			

This checklist is intended to be used for **all** staff appraisals as a guide to ensure that everything is covered. However, some questions may not apply depending on the individual being appraised.