

# UCL Faculty of Population Health Sciences annual appraisal review checklist

## 1. Guidance on appraisal paperwork and discussion

Please note that there are different appraisal forms for Professional Services staff and for Academic, Teaching and Research staff. [UCL appraisal forms](#)

Activity	Completed:		
	Yes	No	N/A
<b>Part A - Appraisee to complete in advance of the appraisal meeting</b>			
<p>Summarise progress against your previous goals, achievements and developmental activities since the last review.</p> <p>The form's headings clearly indicate what is to be recorded under each section, including your planned development activity and completion of <a href="#">mandatory training</a>.</p> <p>It is expected that staff will dedicate at least 3 days per year (pro rata for part-time staff) to professional development and learning events. For staff with management responsibilities this should include at least one leadership or management development activity.</p>			
<b>Part B – To be completed in discussion during the appraisal meeting</b>			
<p><b>Setting goals</b></p> <p>Create a set of goals for the year ahead (Discover, Deliver, Defer/Discontinue, Demonstrate) using the UCL goal setting model. <a href="#">Guidance on goal setting and developmental conversations, including illustrative examples</a>, 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><u>Academic, Teaching &amp; Research staff</u> should cover each of the <a href="#">UCL Academic Careers Framework</a> areas (Education, Research, Enterprise and External Engagement, and Institutional Citizenship) expanded in detail in Appendix 1.</p> <p><u>All Professional Services staff</u> is to complete the <a href="#">Professional Development Plan</a>.</p>			
<p><b>Support arrangements</b></p> <p>Record any <b>agreed support</b> that may be needed in order for staff to achieve their goals.</p>			
<p><b>Appraisal conversation</b></p> <p><b>Areas to be covered during appraisal discussion</b></p> <p>Appraisee to check that their job description is up to date, if not, bring it to the appraisal meeting to discuss changes.</p>			

Activity	Completed:		
	Yes	No	N/A
<p><b>Discussion</b> about UCL's <a href="#">Open access policy</a> (not applicable for Professional Services staff), including <a href="#">REF requirements</a>, and maintaining an up-to-date record on UCL's Research Publications Service (RPS).</p>			
<p><b>Discussion</b> about appraisee's <b>career aspirations</b> and future plans, including different and best ways to achieve this and timescales.</p> <p>For Professional Services staff this is to be recorded via the <a href="#">Professional Development Plan</a>. Use <a href="#">UCL Career Frameworks</a> to explore the range of roles across UCL.</p>			
<p><b>Discussion</b> about steps towards <b>academic promotion</b> including timing, with reference to relevant <a href="#">promotions criteria</a> (not applicable for Professional Services staff).</p> <p>If there were no discussions about career aspiration, career development and promotion opportunities explain why here:</p>			
<p><b>Discussion</b> about relevant <b>career development</b> opportunities, such as <a href="#">leadership schemes</a>, <a href="#">coaching and mentoring</a> (e.g. <a href="#">B-MEntor</a>, <a href="#">Inclusive Advocacy</a>), fellowship schemes, <a href="#">secondments</a>, networks and other <a href="#">tools for career development and progression</a>.</p>			
<p><b>Discussion</b> about staff's <b>wellbeing and work life balance</b>. <a href="#">UCL's Flexible Working Policy</a>. Discussion about <a href="#">available resources and support via UCL Workplace Health</a>.</p>			
<p><b>Discussion</b> about any reasonable adjustments needed to support disability or an underlying health condition, review of working pattern.</p>			
<p><b>Discussion</b> about the requirement for a <a href="#">disclosure of conflict and declaration of interest</a>.</p> <p>All staff and doctoral students must disclose any actual, potential or perceived conflicts of interest through the new 'UCL Manage Conflicts and Disclose Interests' system via MyHR.</p>			
<b>Part C – Appraisal Sign-off</b>			
<p>Please review that all areas noted above were covered prior to signing off the appraisal form.</p> <p>The appraisal form is to be completed within 10 working days from the meeting and signed off by the appraisee, appraiser and Institute Director.</p>			

Activity	Completed:		
	Yes	No	N/A
<p><b>Follow up</b></p> <p>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. <a href="#">How to record appraisals in MyHR.</a></p>			

This guidance should be used to complement the information on the [Appraisal Review and Development Scheme](#) HR webpages which also include relevant appraisal forms, training link and further guidance and resources.

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

[Appraisal scheme for clinical academic staff](#)

## Appendix 1

### 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