

PROCEDURE FOR ANNUAL PERFORMANCE REVIEW OF ACADEMIC STAFF (2015-2016)

A. Purpose, Scope and Responsibilities

1. This document provides guidance on the Annual Performance Review (APR) process for academic staff. The APR is first and foremost about review. The APR process is related to the annual reward process but there is **no automatic link** except that no staff who are required to complete the APR process can be considered for contribution pay by the Academic Staff Reward Committee unless they have submitted a Faculty Information Form (FIF) and CV as part of the APR process.
2. The following staff should complete the APR process:
 - Associate Professors
 - Professors

Staff are expected to complete the APR process if they are, or have been, on secondment, sabbatical leave or research leave during the period of review.

Staff on less than 0.4 FTE or who have been on unpaid leave during the period of review can complete the APR process but are not expected to do so.

Staff on partial buyout should complete the APR process.

3. The following staff are not required to complete the APR process:
 - Assistant Professors
 - Lecturers
 - Senior Lecturers
 - Readers

However, Departments can decide that all Assistant Professors should participate in the APR process. Departments can give Lecturers, Senior Lecturers and Readers the option to participate in the APR process.

4. The APR process is distinct from the process of Career Development Review (CDR) - the CDR form may, however, reference relevant sections of the FIF as appropriate.
5. Primary responsibility for overseeing the operation of the procedure lies with Human Resources (HR).
6. The Deputy Director and Provost (hereafter, the Provost) is responsible for ensuring that the procedure is reviewed and updated.

B. Guiding Principles

1. Review is an essential element in the School's approach to the strategic development of its faculty; the pursuit of excellence – both individually and collectively – is the primary purpose of this process.
2. The operation of School procedures should be fair: all parties have a responsibility actively to promote fairness and appropriate transparency in the operation of the APR process. No individual or group should be unduly disadvantaged.
3. The School is a diverse institution: while there are elements of the procedure which must apply to all academic Departments, it is appropriate to have some variation to suit local circumstances.
4. The Head of Department (HoD) has ultimate responsibility for a rounded evaluation of faculty performance. This procedure provides for the delegation of specific moments of academic performance evaluation (to a Departmental Evaluation Committee (DEC), see D4), but the final judgement must be agreed by the HoD.
5. There must be accountability for recommendations and decision-making. At all levels in the procedure there is provision to ensure that each higher level provides the necessary oversight of those beneath.

C. Overview and Timings

1. The HoD must, not later than **1 December 2015**, present to the Provost via HR (Sofia Avgerinou), their proposal for the operation of the departmental Review process. Specifically, HoDs must state whether:
 - A. they plan to empanel a Departmental Evaluation Committee (DEC) or not. If choosing to empanel a DEC, the membership and core rules of operation must be presented for approval to the Provost (see D4).
 - B. they opt in to require all Assistant Professors to also participate in the APR process and to give Lecturers, Senior Lecturers and Readers the option of participating in the APR process.
2. Staff expected to participate in the APR process will be notified of the School's procedure, and their Department's local procedure, **by the end of Michaelmas term**. They will be provided with a Faculty Information Form (FIF: attached at the end of this document) and instructions for its completion. The period of review is the preceding calendar year.¹
3. Staff expected to participate in the APR process will be required to fill in an appropriate FIF, including colleagues on sabbatical leave in the Lent Term (who can make the appropriate declaration). The primary purpose of the FIF is review. No staff who are required to complete the APR process can be put forward to the Academic Staff Reward Committee (ASRC) for increments or a lump sum (discretionary or contribution pay) who have not submitted a FIF and CV. HoDs may choose to be informed by the FIF alongside information from current and/or previous Career Development Reviews when making nominations to the ASRC.
4. FIFs and CVs must be received by HR not later than **12 February 2016**. HR will forward these to HoDs and their Departmental Managers (DM) as soon as possible thereafter. Once received, the FIFs and CVs will be subject to evaluation by the HoD and/or DEC, as previously agreed.
5. Departments will provide HR with the grades and notes of feedback given to staff by no later than **29 April 2016**.

D. Annual Performance Review

1. The primary basis for Review is: the FIF (see D3); the faculty member's updated curriculum vitae (CV) (to be submitted with the FIF); teaching scores and teaching loads for the year under review. The CV can be submitted **in any format**. If staff use the [Promotions Committee format](#), the form will not require an HoD signature or submission of any books or publications. HoDs will receive teaching scores for LT and MT for 2014 and 2015 from HR collated from TQARO. HoDs or their Department Managers (DMs) will have information about teaching loads. It is the HoD's responsibility to make sure that the DEC, if used, has access to any teaching evaluations and teaching load information.
2. Where an individual believes that his/her performance has been adversely affected by personal circumstances, he/she will have the opportunity to report these to HR. This provides a mechanism for the confidential consideration of these individual circumstances (see F). Information about individual circumstances will be treated with the utmost sensitivity. In particular, the information provided on the **Individual Circumstances Form** will only be available to relevant HR Partners and the VCAC. To protect members of staff who are evaluated, the DEC will not know of the existence of individual circumstances. Unless the staff member has already informed the HoD about the nature of the individual circumstances, which is advised, the HoD will be informed about the existence of individual circumstances following the evaluation, but details of the circumstances will not be disclosed to the HoD. The HoD will only be informed about the severity of the individual circumstances, as assessed by the HR Partner in consultation with the VCAC.

¹ This is chiefly a review of one year's performance, although research will need to be assessed on a rolling basis (over three years). The School expects that the cumulative effect of the APR process will, over time, fairly reflect and convey the overall performance of an individual.

3. The FIF will detail:

A. Name and job title of the faculty member, Department and other affiliations;

B. Education – Teaching and Learning:

- i. Courses taught (with numbers and contact hours);
- ii. Evidence of teaching innovation;
- iii. New course proposals;
- iv. PhDs supervised and examined;
- v. Other comments.

C. Research:

- i. Publications in the year and the two preceding;
- ii. Publications in development;
- iii. Grants applied, received and ongoing;
- iv. Evidence of research leadership;
- v. Knowledge exchange and impact activities;
- vi. Other comments.

Note: research is less easily assessed on an annual basis than teaching or service.

Departments will need to form a judicious view of whether a colleague is outstanding, good, or exhibiting some concern (as might be evidenced by non-entry to the REF or some other cumulative indicator).

D. Service/Citizenship:

- i. To the Department;
- ii. To the School;
- iii. To the profession;
- iv. To the community;
- v. Other comments.

Note: HoDs are referred to the role profiles for staff as an indication of what service/citizenship entails.

4. HoDs may choose to evaluate faculty performance on their own or by empanelling a DEC (which may or may not include the HoD and could include Deputy Heads). If choosing a DEC, the following rules should apply (with arrangements for A and B – and names of DEC members - being reported to the Provost via Sofia Avgerinou in HR; see also C1):

A. there should be a minimum of three, and maximum of five, members. All members should attend;

B. in cases where the Department has fewer than fifteen (headcount) NAC faculty, it may choose to have an external panel member who should be a Full Professor from within the School;

C. members must be reminded that their DEC membership is one of significant responsibility and that duties must be undertaken with impartiality and discretion;

D. evaluation of DEC members' performance is the responsibility of the HoD;

E. the DEC will have no knowledge of individual circumstances.

F. evaluations of research, teaching/education and service made by the DEC are final. Other than on grounds of individual circumstance, the HoD cannot normally propose changes to evaluations made by the DEC [see also F3]. However, since the HoD has ultimate responsibility for a rounded evaluation of faculty performance [see B4], the HoD may in very exceptional circumstances over-rule an evaluation made by the DEC.

[Note: HoD recommendations for contribution pay are separate and distinct from this evaluation process].

G. brief records of meetings and key decisions should be kept.

5. Faculty should be evaluated across three categories **taking into consideration the relevant role profiles** (as appended to this document) and teaching scores for the past year, though in cases of concern, the evaluation may take into account teaching scores for the past two years.
6. Scores for each category should be recorded separately:
 1. Outstanding;
 2. Good;
 3. Some Concern(s).

In some instances, for example, when Faculty have been on sabbatical or had substantial research buy-out, the grades for each evaluation category may not be relevant in a given year. In this instance, "N/A" should be used and a valid reason provided for this choice. Scores of "Outstanding" for teaching must relate to the calendar year under review.

7. Each HoD will send to HR, not later than **29 April 2016**:
 - A. individual faculty evaluations disaggregated by education-teaching and learning, research, and service/citizenship;
 - B. copies of any written feedback (beyond the grades) provided to any faculty member.
8. All faculty will receive feedback on the evaluation of their performance. At a minimum, this will consist of the grade received in each of the three evaluation categories. In giving feedback on teaching, HoDs are encouraged to comment not only on teaching scores but also on innovative teaching and learning related initiatives that they are aware of. If an individual is judged to be showing some cause for concern, he/she will be provided with a short statement on why this judgement was reached and constructive advice geared to performance improvement over an agreed time period.

E. Other Matters

1. Faculty based in more than one Department should decide which Department will do the evaluation.
2. HoDs will be reviewed by the Provost who may seek advice from the Pro-Directors. The Provost will welcome receiving information from the DEC on its evaluation of the HoD if this has been done.
3. There is no formal right of appeal. This does not prejudice any rights academic staff might have with respect to the formal grievance procedure under the Academic Annex.

F. Individual Circumstances

1. Faculty should only submit an Individual Circumstances Form if she or he feels that specific personal circumstances are affecting day-to-day activities or performance. The School expects that if this is the case, a faculty member will have raised these circumstances at the earliest opportunity with the Head of Department who will have addressed these issues, with the advice of HR, as soon as reasonably possible. The School expects that most circumstances will not need to be stated using the Individual Circumstances Form since, through discussions locally, these will have been addressed. For advice, consult the Department's HR Partner in the first instance.
2. The following are examples of individual circumstances that might apply where these have had a significant impact on a Faculty member's performance:
 - Disability (including conditions such as cancer and chronic fatigue)
 - Ill health or injury
 - Mental health conditions
 - Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of parental leave taken. This could include, for example, pregnancy related illness.
 - Other caring responsibilities (including caring for an elderly or disabled relative)
 - Gender reassignment

Please note that periods of interruptions in service due to maternity leave, adoption leave, substantial paternity leave, shared parental leave, secondment or special leave buyout should be declared on the Faculty Information Form instead.

3. Faculty members may declare their individual circumstances on an Individual Circumstances Form at the time of submitting their FIF. If a form was submitted in the previous year and the circumstances are still affecting performance, a new form should be submitted with the same or an updated set of information. The form should clearly explain how the individual circumstances have had an impact on the three areas (research, teaching and citizenship) during the period under review. The information provided, with advice from the HR Partner and in consultation with the VCAC, will help to inform the assessment of individual performance.
4. In a case where it is concluded by the VCAC and HR Partner that the individual circumstances presented have impacted upon performance, the VCAC can either suspend the award of a score for one or more areas without detriment to the Faculty member or can, in consultation with the HoD, modify a score prior to reporting the Department's results. Unless the Faculty member has already informed the Head of Department about the nature of the individual circumstances, which is advised, the HoD will be informed **only** about the existence and severity of individual circumstances, as assessed by the HR Partner in discussion with the VCAC, and details of those circumstances will not be disclosed to the HoD without prior agreement by the Faculty member.

Job Description: Assistant Professor

Roles at this level encompass the stages of an academic career from first appointment through to Major Review. Those appointed will normally have, or be close to obtaining, a PhD or its equivalent. The role will involve a combination of research and teaching activities, with appropriate organisation of these activities and contribution(s) to departmental administration.

The relative balance of activities in research, teaching and administration may vary across departments, and is also likely to vary for any particular individual over the course of their career.

Range of Academic Activities and Responsibilities at Assistant Professor Level

Research

- Conducting substantive research into complex problems, ideas, concepts or theories and applying appropriate methodologies.
- Developing and carrying forward a coherent research strategy in their discipline which has national and international impact.
- Developing a body of outstanding quality publications in well recognised peer reviewed outlets.
- Initiating and developing links with internal contacts such as academics in interdisciplinary departments/institutes/centres, external contacts at other educational institutions, employers and professional organisations to actively foster collaboration.
- Presenting research and giving invited papers at national and international conferences.
- Acting as a reviewer for academic journals.
- Providing academic leadership at conferences and raising the profile of LSE research.
- Providing expert opinion and commentary to external audiences and organisations.

Teaching

- Contributing to the intellectual life of the School by engaging in high quality core teaching.
- Contributing to the monitoring and enhancement of quality in teaching within the department.
- Actively seeking and pursuing training in teaching technology and practice, for example by undertaking the PGCertHE to associate level.
- Teaching and examining undergraduate and masters level students.
- Acting as personal adviser and providing pastoral care.
- Supervising PhD students (but not sole supervisory responsibility for research students whilst pre-Interim Review).
- Developing innovative and attractive courses, shaping and influencing curriculum development and actively contributing to the review of courses in accordance with departmental strategy.
- Supervising hourly-paid teachers, including organising and delegating work, arranging induction and providing training and guidance.
- Actively contributing to departmental teaching administration.

Activities relating to departmental administration and management and/or School-wide service

- Fostering departmental collegiality and fulfilling individual responsibilities as set out by the Head of Department and/or other senior colleagues.
- Actively contributing to the intellectual life of the department and to the work of the School overall, for example:
 - Attending and participating in departmental meetings.
 - Acting as a member of and/or chairing departmental, inter-departmental or School committees, e.g. exam boards and sub-boards.
 - Participating in departmental hiring searches and making shortlisting recommendations for new members of academic staff.
 - Liaising with central and departmental administration across the School to resolve issues concerning programme development, student welfare and examinations etc.
- Engaging with external institutions, organisations and the wider community to support research, teaching and School strategic objectives.

Job Description: Associate Professor

Roles at this level will typically reflect outstanding contributions to research and scholarship – both proven and potential. Individuals will have a substantial body of peer-reviewed publications in high quality outlets. Roles at this level will include a strong record in teaching, administration, managerial responsibilities in their department and School-wide service.

The relative balance of activities in research, teaching and administration may vary across departments, and is also likely to vary for any particular individual over the course of their career.

Range of Academic Activities and Responsibilities at Associate Professor level

Research

- Publishing research in top quality and well recognised international peer-reviewed outlets.
- Conducting substantive and original research into complex problems, ideas, concepts or theories and applying appropriate methodologies.
- Developing and carrying forward a coherent research strategy in their discipline which achieves public recognition and a sustained national and international impact.
- Leading peer reviewed funding bids which develop and enhance research support for the specialist area.
- Applying for, negotiating and managing large research projects, grants and/or research centres.
- Contributing to the leadership of department research strategy.
- Providing academic leadership at conferences and raising the profile of LSE research.
- Initiating and developing links with internal contacts such as academics in interdisciplinary departments/institutes/centres, external contacts at other educational institutions, employers and professional organisations to actively foster collaboration.
- Presenting research and giving invited papers at national and international conferences.
- Chairing and membership of boards of international journals and other bodies related to the discipline.
- Providing expert opinion and commentary to external audiences and organisations.

Teaching

- Contributing to the intellectual life of the School by engaging in high quality core and specialist teaching.
- Contributing to the monitoring and enhancement of quality in teaching within the department.
- Acting as a role model for teaching methods through excellent practice.
- Leading and developing courses, supervising small teaching teams and ensuring a high standard of teaching quality is delivered to students.
- Teaching and examining undergraduate and masters level students in core subjects and in own area of specialism.
- Acting as personal tutor and providing pastoral care.
- Supervising and examining PhD students.
- Developing innovative and attractive courses, shaping and influencing curriculum development and actively contributing to the review of courses in accordance with departmental strategy.

Activities relating to departmental /School management and administration

- Fostering collegiality and fulfilling responsibilities as set out by the Head of Department and other senior colleagues.
- Contributing to the overall management of the department in areas such as budget management and business planning and contributing to departmental level strategic planning.
- Contributing to strategic deliberations and making decisions at Institutional level, e.g. through office holding and chairing/ membership of School committees.
- Undertaking key administrative roles and/or taking substantial responsibility within the department, e.g. Programme Director, Chair of Examination Board, membership of departmental search committees or Deputy Head of Department.
- Liaising with central and departmental administration across the School to resolve issues concerning programme development, student welfare and examinations etc.
- Mentoring and appraising junior staff and providing advice on their career development.

- Engaging with external institutions, organisations and the wider community to support research, teaching and School strategic objectives.
- Support departmental academic recruitment activity – membership of relevant search committees.

Job Description: Full Professor

Roles at this level reflect internationally recognised academic leadership in research, pedagogical, and entrepreneurial activities, and outstanding contributions to their discipline through publications and other appropriate forms of scholarship.

There will be contributions to departmental and School-wide strategic management; considerable engagement in all aspects and at all levels of teaching, and in the mentoring and career development of junior members of staff. The relative balance of activities in research, teaching, management and administration may vary across departments, and is also likely to vary for any particular individual.

Range of Academic Activities and Responsibilities at Professorial Level

Research

- Conducting substantive and original research into complex problems, ideas, concepts or theories and applying appropriate methodologies.
- Developing and carrying forward a coherent research strategy in their discipline which achieves public recognition and a sustained national and international impact.
- Publishing work of outstanding quality and significance to the discipline.
- Planning and directing research activities and programmes of outstanding quality and international significance.
- Leading major peer reviewed funding bids for research programmes in the specialist area.
- Establishing/Directing/Co-Directing Research Centres and leading the activities of teams within Research Centres.
- Contributing to the development of departmental and School research strategy.
- Leading and participating in national and international committees - e.g. REF panels, Research Funding bodies, European Commission committees etc.
- Leading scholarly initiatives in the discipline.
- Membership of boards of international journals and other bodies related to the discipline Providing expert opinion and commentary to external audiences and bodies.
- Providing advice to government bodies.

Teaching

- Teaching and examining undergraduate and masters level students in core subjects and in own specialism to a high standard.
- Acting as personal tutor and providing pastoral care.
- Supervising and examining PhD students.
- Contributing to and monitoring the enhancement of quality in teaching within the department and ensuring that teaching delivery across the department is consistent with best practice.
- Developing innovative and attractive courses, shaping and influencing curriculum development and actively contributing to the review of courses in accordance with departmental strategy.
- Acting as a role model for teaching methods through excellent practice.

Activities relating to departmental /School management and administration

- Fostering collegiality and fulfilling responsibilities as set out by the Head of Department and other senior colleagues.
- Leading strategic management development in the department and the School.
- Assuming senior academic office holding positions.
- Contributing to professorial decision taking on candidates for promotion, review and additional incrementation.
- Assuming the role of Head of Department or deputy for a specified period.
- Participating in professorial committees e.g. the Promotions Committee, the Appointments Committee and the Department Heads Forum.
- Contributing to the development and performance of colleagues through coaching, mentoring and peer support.
- Giving leadership to academic recruitment campaigns and department hiring search committees.

- Engaging with external institutions, organisations and the wider community to support research, teaching and other School strategic objectives.

When acting as Head of Department

- Taking responsibility for the appointment procedures, promotion proposals and development and management of all staff within the department.
- Taking responsibility for major processes in the department e.g. forward planning, financial management, teaching and teaching quality, research quality and admissions.
- Preparing key departmental review documents for internal and external consumption e.g. for various School financial reviews, the departmental development plan and the annual report to the Director.
- Taking decisions on course provision in line with strategy.

Activities relating to the discipline, academic and professional body

- Participation and occasional leadership roles in national and international professional bodies and other initiatives concerned with promoting the interests of the social sciences or a particular discipline.