

ACADEMIC PERFORMANCE STANDARDS

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SECTION A: INTRODUCTION

1. Context

- 1.1 Minimum performance standards have been in operation for all academic staff in the Barts and The London School of Medicine and Dentistry (SMD) since 2003. Some clarification/updating of these standards occurred in February 2005 and in May 2006.
- 1.2 Examples of the significance attributed to performance management in relation to the successful achievement of the SMD's and College's strategic aims and business objectives are given in Appendix I.
- 1.3 In April 2008 the Warden's Team agreed that a Working Group should be formed to:
- Conduct a review of the SMD's performance standards;
 - Revise and update SMD performance standards as required, taking into account the College's, SMD's and Trust's values, vision and strategic aims and objectives;
 - Formulate and agree guidance notes and procedural documentation for the implementation and management of revised SMD performance standards.
- 1.4 The reasons for conducting a review at this time include:
- The enhancement of integrated processes with BLT to enable the management of our joint workforce;
 - Publication of the Leadership Foundation for Higher Education and QMUL report on *Managing Teaching Performance*;
 - The introduction of *Curriculum 2008* – to ensure SMD is able to deliver the teaching hours and content required;
 - The development of robust quality standards for teaching in addition to quantitative measures;
 - The development of the SMD's post-RAE research strategy, using a full range of research performance measures to support the metrics based assessment system.
- 1.5 In addition to reviewing existing qualitative and quantitative performance standards for teaching, research and scholarly activity (including third stream activities in all these three areas), the Working Group also considered and agreed the introduction of additional minimum standards in relation to:
- “good citizenship” and professional academic behaviour; and
 - (for those in appropriate roles) management and leadership.
- 1.6 Following the Working Group's activities, and consultation with staff in the HR department, in Educational and Staff Development and with staff-side representatives, the revised documentation and standards were approved by Warden's Team, School Executive Team and Principal's Steering Group.
- 1.7 This documentation and standards will be subject to review no later than two years from the date of implementation.

2. The Benefits of Performance Management

- 2.1 The single most important asset in ensuring successful delivery of the College's, SMD's and Institutes' mission is our “human resource” – our individual staff members,

who need to be effectively supported and managed in order to enable them to deliver best performance.

- 2.2 Successful and comprehensive management, including performance management, of the SMD's workforce is essential to:
- Enable staff to understand clearly what is expected of them;
 - Allow the SMD to identify clearly an individual's achievements in research and teaching, to facilitate opportunities for career progression and to reward research and teaching excellence;
 - Facilitate both the professional and personal development of our staff;
 - Enable Institute Directors (Dols) to identify and nurture areas of outstanding capability that would represent major priority areas for investment by the SMD;
 - Develop and enhance both our teaching and research profiles;
 - Strengthen our clinical and academic interactions with NHS partners;
 - Ensure clarity, transparency and fairness, in relation to all aspects of equality and diversity, and to ensure compliance with employment and equalities legislation;
 - Minimise the amount of senior management time 'lost' to resolving complex, time-consuming, often acrimonious, human resource problems, which often arise owing to insufficiently clear and robust people management practices.
- 2.3 The SMD's performance management arrangements provide a framework for the SMD's academic community to pursue identified strategies and targets to advance excellence in research, teaching and third stream activities (and where appropriate taking into account the demands of clinical service provision) by identifying achievable performance targets for all academics.
- 2.4 Delivery of research outputs of appropriate quality and volume serves to provide, both internally and externally, a convincing and coherent demonstration of the depth and continuity of the SMD's post-RAE research effort.
- 2.5 Within the SMD, the academic status of a TS post is identical and equal to that of TR and PI posts. The definition of minimum standards for TS posts is therefore equally as important as research performance indicators for PI and TR posts.
- 2.6 It is not possible to assess individual performance in a demonstrably fair and constructive manner without clearly defined, agreed, targets and objectives being in place.
- 2.7 The process of objective setting and performance management allows the SMD to identify staff members who are not meeting their targets, in order to support and provide them with development in terms of competencies and knowledge so as to help them to achieve objectives and to bring their performance up to the minimum standard required. Staff who consistently fail to meet minimum performance standards are managed in accordance with the College's [Code of Practice on Remediating Poor Performance](#).
- 2.8 The achievement of clearly identified teaching and research objectives by individuals contributes to the achievement of Institute and Centre performance targets, for example in grant overheads, research student numbers, taught postgraduate courses, etc. This in turn enables the SMD to reward both Institutes and teams through its incentivisation scheme (Appendix II).

SECTION B: TYPES OF ACADEMIC POSTS IN THE SMD

3. General Features

3.1 Within the SMD there are three types of academic posts which may be held by clinical and non-clinical staff at any level of academic appointment (lecturer, senior lecturer, reader and professor):

- Teaching and Scholarship (**TS**)
- Principal Investigator (**PI**) and
- Teaching and Research (**TR**).

3.2 All three types of academic posts (TS, PI and TR) have equal academic status.

3.3 PI, TR and TS posts are based on the concept of a working week whose content is indicated as a ratio of specified groups of related activity:

- **Teaching** activity
- **Research** activity
- **Scholarly** activity
- **Supporting** activity

3.4 In general, the approximate ratios of academic activities for the three different types of academic posts in the SMD are:

- **TS posts** (teaching activity, scholarly activity, supporting activity) **50% 25% 25%**
- **PI posts** (teaching activity, research activity, supporting activity) **10% 65% 25%**
- **TR posts** (teaching activity, research activity, supporting activity) **30% 45% 25%**

3.4.1 The above ratios are those typically expected for each type of post but are subject to negotiation and agreement with the appropriate line manager (usually DoI), and are reviewed at the annual performance review meeting.

3.4.2 Depending on the nature of the activities, the proportion of time devoted to **third stream activities** is contained within the ratios for teaching (TS, PI and TR posts), research (PI and TR posts) and scholarly activity (TS posts). See Section 10 below.

3.4.3 For staff who hold **significant** (ie, occupying greater than, on average, 20% of the working week) management/leadership roles at School Executive level – for example Deans, Deputy Deans, Institute Directors – an apportionment of average weekly time for these roles is agreed at School level and the remainder of their working week calculated according to the ratios defined above. In most instances this is not likely to result in a reduction of the minimum standards required for research outputs given in Section 17 below. However, each case will be determined individually.

3.5 Calculations are based on a 44-week teaching year.

3.6 Clinical academics apportion their time **pro rata to the agreed academic proportion of their contracted job plan** on the basis of a 40-hour working week.

3.7 Non-clinical academics apportion their time on the basis of a 35-hour working week.

- 3.8 All academics are reviewed against minimum performance standards at an annual performance review meeting, based on the previous three year period, in relation to:
- Teaching activity
 - Research activity (PI and TR posts) **or** Scholarly activity (TS posts)
 - “Third stream” activities (in relation to teaching, research or scholarship)
 - Good citizenship and professional academic behaviour
 - Management and leadership (where appropriate).
- 3.9 Clinical academic staff are also required to meet relevant professional and clinical standards in accordance with GMC, national NHS and local Trust regulations.

4. Teaching and Scholarship (TS) Posts

- 4.1 Academic staff with a primarily educational focus hold a TS post that fully recognises the importance of teaching in the contribution that they make to the work of the SMD, and reflecting the School’s commitment to providing teaching of the highest quality to its undergraduate and postgraduate students.
- 4.2 There are three types of specified activity in the working week of a TS academic. These are **teaching activity, scholarly activity and supporting activity** in an approximate ratio of **50% : 25% : 25%**, of which approximately half the time apportioned for teaching activity will be direct student contact. See Section 16.1 below.
- 4.3 Excellence in both the teaching and scholarly activity of a TS academic’s contribution to the SMD, together with satisfactory fulfilment of all other standards of performance (see Section 3.8 above), is expected for promotion through contribution to medical and dental education.

5. Principal Investigator (PI) posts

- 5.1 Principal Investigators’ primary responsibility is the delivery of the SMD’s research agenda. Research time is protected in order to maximise their productivity and therefore a reduced level of commitment to teaching is required from these posts. However, if students are to benefit fully from the research-led environment, it is essential that PIs continue to make an important but limited contribution to teaching.
- 5.2 Typically, a HEFCE and/or NHS funded PI makes a weekly contribution to the three types of specified activity (**teaching activity, research activity and supporting activity**) in an approximate ratio of **10% : 65% : 25%** of which half the time for teaching activity is direct student contact. See Section 16.1 below.
- 5.3 The SMD also encourages and values contributions to teaching by PIs who are not funded from either HEFCE nor NHS sources, with the agreement of their DoI.
- 5.4 Excellence in both the teaching and research elements of a PI’s contribution to the SMD, together with satisfactory fulfilment of all other standards of performance (see Section 3.8 above), is expected for promotion.

6. **Teaching and Research (TR) Posts**

- 6.1 TR academics are research-active members of Institutes and contribute significantly to the SMD's research agenda.
- 6.2 TR posts funded by HEFCE and/or the NHS are **required** to contribute to the teaching activities of the SMD. Those funded from other sources are normally expected to make at least some contribution to teaching.
- 6.3 TR academics undertake three types of specified activity (**teaching activity, research activity and support activity**) in a ratio of approximately **30% : 45% : 25%**, of which half the time for teaching activity is direct student contact. See Section 16.1 below.
- 6.4 Excellence in both the teaching and research elements of a TR academic's contribution to the SMD, together with satisfactory fulfilment of all other standards of performance (see Section 3.8 above), is expected for promotion.

SECTION C: DEFINITIONS OF ACADEMIC ACTIVITY

7. **Teaching activity** (TS, PI and TR posts)

- 7.1 Teaching activity includes all undergraduate, intercalated and taught Masters teaching, and also includes "third stream" activities relating to teaching. See Section 10 below.
- 7.2 Teaching activity is defined more broadly and more inclusively than just teaching contact hours, and thus includes **all** activity that relates directly to the delivery of curricula and student support. Thus, in addition to direct teaching contact time, it includes preparation time, curriculum development and management, assessment, student support and educational management.
- 7.3 PhD, MD and Research Masters supervision is not counted as teaching activity, but is instead included under 'Scholarly' (TS posts) or 'Research' (PI and TR posts) activity.
- 7.4 For medicine, teaching undertaken during clinical time (eg, ward rounds, outpatients or theatres) comes under SIFT arrangements and should therefore be counted as part of the clinical component of the academic's job plan. For dentistry, teaching undertaken during clinical time is also be counted as part of the clinical component of a the job plan.
- 7.5 Approximately half the time apportioned for teaching activity is direct student contact. See Section 16.1 below.
- 7.6 Teaching activity is subject to minimum performance standards which are designed to ensure efficient delivery of the SMD's curricula and optimal performance in teaching quality assessments. See Section 16 below.

8. **Research activity** (PI and TR posts)

- 8.1 Research activity includes all activity relating to research within an academic centre in an Institute, including "third stream" activities. See Section 10 below.
- 8.2 Research activity must be coherent with the research aims and objectives of the School and Institute, as indicated in the [Strategic Plan 2006-2010](#).

- 8.3 Research activity also includes supervision of PhD, MD and Research Masters students.
- 8.4 Research activity is subject to minimum performance standards which are designed to ensure optimal development of the SMD's post-RAE research strategy and profile and to prepare for a metrics based assessment system. See Section 17 below.

9. **Scholarly activity*** (TS posts)

- 9.1 Scholarly activity is academic endeavour not directly related to the delivery of the curriculum. This is subject to the agreement of the relevant DoI and may include the writing of books, chapters and papers, developing course materials or e-Learning packages, delivering staff development or undertaking higher degrees in education.
- 9.2 Scholarly activity also includes "third stream" activities. See Section 10 below.
- 9.3 Scholarly activity may also include, with the agreement of the relevant DoI, engagement in research and, where appropriate, supervision of PhD, MD and Research Masters students.
- 9.4 Research undertaken as part of scholarly activity must be coherent with the research aims and objectives of the School and Institute, as indicated in the [Strategic Plan 2006-2010](#).
- 9.5 Scholarly activity is subject to minimum performance standards which are designed to enable an individual's personal development as an educator, whilst enriching the overall environment in which learning and teaching takes place. See Section 18 below.

10. "Third Stream" activity (TS, PI and TR posts)

- 10.1 Participation in and growth of "Third Stream" activities is an agreed component of the QMUL mission and is set out in the current College [Strategic Plan](#): *"(To)... embed knowledge transfer as a core function of the College by focusing on activities that add economic and reputation value to current research and teaching initiatives and by streamlining knowledge transfer operations into Departments where possible."*
- 10.2 Third stream activities are an integral part of and underpin the SMD's other main academic activities of teaching, research and scholarship, and can be a condition of some types of external grant funding. The nature of an individual's third stream activities should be discussed with the relevant DoI, but may include knowledge transfer, research collaboration with industry, commercialization of new educational aids, development of intellectual property rights, provision of expert advice, consultancy services and training, and interaction with the community.
- 10.3 Depending on the nature of the activities, the allocation of time for third stream activities is contained within the ratios for teaching (TS, PI and TR posts), research (PI and TR posts) and scholarly activity (TS posts).
- 10.4 Evidence of engagement in appropriate third stream activities, which have demonstrable economic and reputational benefits for the College and the SMD, will be required as part of an individual's annual performance review. See Section 19 below.

* TRAC definition of Scholarship: the maintenance and advancement of own personal knowledge and skills (eg reading literature, attending conferences, maintaining professional or clinical skills, acquiring new skills etc).

11. Management and Leadership Activity (TS, PI and TR posts)

- 11.1 All academics who perform leadership or management roles, **including having line managerial responsibility for other staff** (at College, SMD, Institute, Centre, Unit or team level) are reviewed against minimum standards for management and leadership which are designed to benefit all members of SMD staff through being appropriately and effectively managed. See Section 21 below.
- 11.2 For staff holding **significant** (occupying >20% of working week) management and leadership roles at School Executive level – for example Deans, Deputy Deans, Institute Directors – an apportionment of average weekly time for these roles is agreed at School level and the remainder of their working week calculated according to the ratios defined above (see Section 3.4 above). In most instances this is not likely to result in a reduction to the minimum standards required for research outputs given in Section 17 below. However, each case will be determined individually.
- 11.3 Ratios of T, R or S activity may also be adjusted, in agreement with the relevant DoI, to take into account an individual's responsibility for certain types of administrative or managerial tasks, for example module leader.

12. Supporting activity (TS, PI and TR posts)

- 12.1 Typically, one quarter of the working week is devoted to supporting activities such as personal administrative work, updating, and travel between sites.
- 12.2 Supporting activities are not reviewed for performance appraisal or promotion.

SECTION D: THE MANAGEMENT OF ACADEMIC PERFORMANCE WITHIN THE SMD

13. The Process

- 13.1 Staff and their managers are encouraged to meet three monthly to discuss an individual's performance and to manage progression towards their objectives. There must be a **minimum** of one performance review meeting held annually.
- 13.2 Performance review is usually conducted contemporaneously with appraisal, though academics may opt for them to be conducted at separate meetings.
- 13.3 The overall performance of an academic is assessed annually on the basis of the previous three-year period.
- 13.4 Other than for <2PA Clinical Dentists, assessment of a TS academic's performance in teaching and scholarly activity is done using Appendix IIIa below. Assessment of a TS part-time (<2PAs) Clinical Dentist's performance is done in accordance with Appendix IIIb below.
- 13.5 Assessment of PI and TR academics' performance in teaching and research is done using Appendices IV and V respectively. In addition, DoIs are provided with a research 'score card' (Appendix VI) for each PI, TR and (if appropriate) TS academic, providing details of their research performance indicators for the previous three year period.
- 13.6 Records of the annual performance review meeting are held at an Institute level.

14. Transfer Between Types of Academic Post

14.1 All three types of academic posts (TS, PI and TR) have equal academic status and equal promotions possibilities.

14.2 As detailed above (Section 5), in order to allow PIs to maximize their research productivity, they have protected research time and are therefore required to deliver a significantly lower teaching commitment than that expected of TR and TS posts.

14.3 It is important that the SMD's performance management system is sufficiently flexible to allow those who wish to change the focus of their academic career to be considered for transfer to a different type of academic post and to be performance managed accordingly.

14.4 The effective date of transfer between types of academic post will usually be the beginning of the financial year (1st August), but may be agreed, with the relevant DoI and Dean for Research and/or Education, from another date – for example the date of the annual performance review meeting.

14.5 Transfer to a different academic status (TS, TR, PI) must be agreed by the Institute Director and notified to the SMD Chief Operating Officer and the HR Manager (SMD).

14.6 Transfer to TS

14.6.1 Applications to transfer to a TS post will be assessed by the relevant DoI, in consultation with the Dean for Education and Dean for Research, based on:

- acceptable previous performance levels;
- the level and quality of their educational activity over the previous three year period; and
- evidence that they are likely to be able to reach the minimum performance standards required of a TS post. See Appendix VII below.

14.6.2 In some cases, individuals transferring to a TS post may continue to make a contribution to research as a component of their scholarly activity, subject to the agreement of the relevant DoI.

14.7 Transfer from TS

14.7.1 An academic in a TS post who:

- wishes to change the focus of their academic career towards research, and
- can demonstrate over a three year rolling period that they are reaching TR, or exceptionally PI, research performance targets (whilst undertaking research as part of their scholarly activities), and
- has fulfilled their contribution to teaching

will be assessed by the Dean for Research, in consultation with the relevant DoI, on the basis of the level and quality of their research activity.

14.7.2 The appropriate host Institute for an academic transferring from a TS position will be determined by the Dean for Research in consultation with the relevant DoI(s). Where an academic transfers to a different host Institute, the budget for their post will transfer with them.

14.8 Transfer from TR to PI

14.8.1 An academic in a TR post who:

- is exceeding their identified research targets over the previous three year period to the level of PI, and
- has fulfilled their contribution to teaching

will automatically be eligible for transfer to a PI post.

14.9 Transfer from PI to TR

14.9.1 An academic in a PI post who can demonstrate acceptable previous performance levels is eligible to request transfer to a TR post.

15. Failure to meet minimum performance standards

15.1 Any academic who consistently fails to maintain minimum performance standards (whether TS, PI or TR) over a three year rolling period will be managed in accordance with the College's [Code of Practice on Remediating Poor Performance](#).

SECTION E: THE PERFORMANCE STANDARDS

16. Standards for Teaching (TS, PI and TR posts)

16.1 Teaching hours

16.1.1 The table below provides guidance calculations for annual teaching hours for academic staff in the SMD, based on:

- a 44-week teaching year
- a 35-hour working week for non-clinical academics
- a 40-hour working week for clinical academics

Post	Non-clinical academic (full-time)		Clinical academic									
			5 academic PAs		4 academic PAs		3 academic PAs		2 academic PAs*		1 academic PA	
	Total hrs	Contact hrs	Total hrs	Contact hrs	Total hrs	Contact hrs	Total hrs	Contact hrs	Total hrs	Contact hrs	Total hrs	Contact hrs
PI	154	77	88	44	70	35	53	26	35	18	18	9
TR	462	231	264	132	211	106	158	79	106	53	53	26
TS	770	385	440	220	352	176	264	132	176*	88*	88*	44*

16.1.2 **Total** teaching time indicated above includes preparation and set-up time.

16.1.3 The teaching commitment for clinical academics is calculated **pro rata** to the agreed academic proportion of their contracted job plan. It is over and above any teaching included in the clinical component of the job plan. See Section 7.4 above.

16.1.4 Different standards are in place for part-time (2PAs or less) Clinical Teachers in Dentistry. See Appendix IIIb.

16.2 Excellence in Teaching

- 16.2.1 All staff who engage in teaching are expected **as a minimum** to:
- Attend appropriate training/briefing relevant to the types of teaching they undertake, for example OSCE examiner briefing, PBL facilitator training, effective lecturing course.
 - Participate in annual peer observation;
 - Comply with standing College guidelines on teaching quality assurance;
 - Contribute to preparations for accreditation processes.
- 16.2.2 In addition to the standards in Section 16.2.1 above, academics wishing to pursue an educational career path (for example leading to promotion, on the grounds of teaching, from lecturer to senior lecturer) will be judged in line with the eight 'Queen Mary Indicators' of individual teaching excellence, contained within the Leadership Foundation for Higher Education and QMUL report *Managing Teaching Performance* – [Appendix A](#):
- 1 Highest levels of satisfaction in student feedback across all teaching over previous three years.
 - 2 Excellent feedback on quality of teaching and/or levels of student achievement from external examiners.
 - 3* Success in gaining:
 - a. accredited teaching qualification;
 - b. funding for enhancements of teaching and learning;
 - c. Queen Mary prize or award for teaching.
 - 4 Evidence of excellent and sustained leadership of teaching activities that demonstrably improves students' learning.
 - 5 Evidence of significant contributions to development of policy and enhancement of practice in relation to teaching and learning at departmental, Faculty or College level.
 - 6 Examples of significant personal contribution to innovations in teaching, curriculum design, and/or student support that enhance students' learning.
 - 7 Evidence of teaching informed by the research culture of the discipline and/or by appropriate professional practice in a way that has a positive impact on students' learning.
 - 8 Evidence of significant individual contribution to the achievement of QM graduate attributes.
- 16.2.3 In addition to the standards in Sections 16.2.1 and 16.2.2 above, academics seeking conferment of academic title (Chair or Reader) on the grounds of teaching will be judged in line with the four 'National/International Indicators' of individual teaching excellence, contained within the Leadership Foundation for Higher Education and QMUL report *Managing Teaching Performance* – [Appendix A](#):
- 1 Award of national prize or Fellowship for teaching and/or support of learning.
 - 2 Receipt of peer-reviewed funding for projects to develop and enhance teaching and learning and successful completion of such projects.

* 16.2.2(3) does not apply for part-time (2 PAs or less) Clinical Teachers in Dentistry, who instead are required to demonstrate "engagement in work-based Teacher Training". See Appendix IIIb.

- 3 Demonstrable impact on teaching in the discipline nationally and/or internationally, for example through publication of high quality scholarship on teaching, the production of high-impact text books, substantial contribution to Subject Centre or subject associations, or substantial participation in policy forums.
- 4 High-level appointment as external expert on teaching and learning.

17. **Standards for Research** (PI and TR posts)

- 17.1 Owing to the different nature of Dental Education and Research, and using information from the 2001 RAE, different research performance standards are set for staff within the Institute of Dentistry.
- 17.2 For clinical academics, the minimum output levels given below in Sections 17.4 and 17.5 are adjusted **pro rata** to the agreed academic proportion of their contracted job plan.
- 17.3 All staff (TS, PI and TR) who engage in research are expected as a **minimum** to:
- Comply with Good Clinical Practice (GCP), Good Laboratory Practice (GLP), ethical requirements, internal peer review systems and College financial regulations;
 - Contribute at an appropriate level to the SMD's/Institute's/Centre's research environment, for example research group and journal club meetings, weekly seminars, audit meetings, etc;
 - Demonstrate appropriate rates of grant and paper submissions.
 - Undergo initial training in "How to be a PhD supervisor", followed by update training every three years (see SMD [Training Requirements for Supervisors](#)).
 - Ensure that they and their research students comply with all SMD Graduate School requirements, including (but not exclusively): undertaking transferable skills training, completing reports on time, and submitting thesis in a timely manner so that degree award can be made within four years (six years part-time) of initial registration.
 - In order to ensure that School research has maximum impact in the metrics-based successor to the RAE and other similar exercises, grants and contracts awarded to School researchers should be managed and administered by the School (unless research governance requirements indicate otherwise). Publications must be attributed in accordance with the School's current policy ([The Identity of our School](#)).
- 17.4 The **minimum** outputs expected for **Principal Investigator (PI)** posts are:
- Medicine: Annual externally funded research expenditure of >£200k (typically £130k charitable sources and £70k Research Council or equivalent sources)
 - Dentistry: Annual externally funded research expenditure >£65k (from charitable, Research Council or equivalent sources)
 - Publishing in journals with the highest impact factors in the field *
 - Publishing in non-discipline specific high impact factor journals, eg Lancet/PNAS/Science/Nature *
 - Supervision of three research students at any one time
 - Medicine: Supervision of two research assistants at any one time
 - Dentistry: Supervision of one research assistant at any one time

* To be determined by discussions with performance manager

17.5 The **minimum** outputs expected for **Teaching and Research (TR)** posts are:

- Medicine: Annual externally funded (charitable, Research Council or equivalent sources) research expenditure of >£65k
- Dentistry: Annual externally funded (charitable, Research Council or equivalent sources) research expenditure of >£30k
- Publishing in journals with the highest impact factors in their field *
- Supervision of one research student at any one time
- Supervision of one research assistant at any one time

18. Standards for Scholarly Activity (TS posts)

18.1 TS academics are expected to be able to provide evidence of their appropriate engagement in scholarly activities which:

- contribute to their personal and professional development as an educator, and
- enrich the overall environment in which learning and teaching take place.

18.2 TS academics who engage in research and/or supervise research students as part of their scholarly activities are expected to fulfil the minimum research standards given in Section 17.3 above.

19. Standards for “Third stream” Activity (TS, PI and TR posts)

19.1 All academics in the SMD are expected to provide evidence that they have:

- explored the potential exploitation of their teaching and research/scholarly activity, and
- (if appropriate) collaborated actively with the College to secure economic and reputational benefits to QMUL and the SMD from these activities.

19.2 All third stream and external activities must be conducted in accordance with the College’s [Code of Practice on Outside Work by Academic Staff](#) and [Code of Practice for the Exploitation of Intellectual Property](#).

20. “Good Citizenship” and Professional Academic Standards (TS, PI and TR posts)

20.1 All academics will conduct themselves professionally in accordance with the key principles embodied within the College’s stated core [Values](#).

20.2 Staff must observe and act in accordance with the College’s [Dignity at Work](#) statement, namely to promote diversity and show commitment to creating a positive working environment free of harassment and bullying, where all people are treated with dignity and respect.

20.3 All staff are also expected to:

- Show evidence of relevant continuing professional development
- Further the academic development of the SMD, Institute and Centre and to take a demonstrably active interest in its activities.

* To be determined by discussions with performance manager

21. Standards for Management and Leadership (posts with appropriate responsibilities)

- 21.1 All academics who carry line-managerial responsibility for other staff members are expected to undergo appropriate HR and employment training sessions, including (but not limited to):
- Fair selection and interview skills
 - Equality and diversity
 - Managing non-academic probation
 - Managing fixed-term contracts
 - Staff appraisal.
- 21.2 Academics are expected to act at all times in an appropriate manner towards the staff that they manage. This includes:
- Holding regular probation, review and performance management meetings
 - Providing mentorship
 - Fulfilling the obligations of the RCUK [Concordat to support the Career Development of Researchers](#)
 - Allowing all staff appropriate opportunities for training and development.
- 21.3 In addition, Centre Leads and Institute Directors are expected to:
- Comply with the College's Ordinance C4 [Duties and Responsibilities of Heads of Academic Centres/Departments/Directorates/Institutes/Schools](#)
 - Ensure the principles of equality and diversity are embedded within the Centre/Institute and all its activities
 - Provide an environment conducive to collaboration and academic enterprise
 - Promote and maintain good relations with SMD colleagues in other Centres/Institutes, with the central SMD and College management and with NHS colleagues in associated Trusts/Divisions/CAUs
 - Demonstrate significant leadership in the Centre's/Institute's activities, providing guidance and encouragement to other staff members.

Appendix I: Performance Management in relation to Strategic Aims and Objectives

The Targets of the SMD

- To advance its performance and reputation as a major international research institution and as a destination of preference for outstanding researchers both nationally and internationally.
- To achieve the highest research assessment ratings and increase its performance in relation to research expenditure, research publications, numbers of research assistants and research higher degree completions.
- To increase the School's total externally funded research expenditure by at least 5% p.a.
- To supervise a total of 400 postgraduate students per year.
- To increase 'third stream' activities (knowledge transfer, interaction with business and the community, consultancies) by at least 5% p.a.
- To provide high quality education to its undergraduate and postgraduate students.

SMD Business Plan 2008/09

- Current Objectives (4.1) "Through the performance management process, and by taking advantage of external funding opportunities, to constantly improve performance across the full range of research performance measures, including working on appropriate methods to ensure the most efficient and complete data collection for returns to the metrics based Research Excellence Framework after RAE2008."
- Major Strategic Initiatives (5.18) "The school is participating in the College's Research Capacity Building initiative. In some respects, changes in the School in recent years have already anticipated the sort of developments in performance management that are likely to result from this initiative."
- HR Strategy (9.7) "Progress has been and will continue to be made in establishing performance management as an integral part of the School management process."
- HR Strategy (9.8) "Performance Management metrics for teaching have been developed as part of the teaching commissioning process. These will be aligned with those in the rest of QM."

QMUL Strategic Plan 2006-2010

- Key Objective Five (p22) "Develop and nurture our key human, physical and financial resources in a sustainable fashion that will enable other key objectives to be achieved."
 - Develop a people management framework integrating performance management into the College.
 - Develop an innovative total reward package and which directs more money to those staff who contribute the most.
 - Develop career pathways for progression for all our staff and support this through motivational programmes of development.
- SMD Sector Objectives (p28) "... we will work to strengthen and improve internal processes for performance management, appraisal and reward of all staff in the School; with, in the case of academics, explicit reference to agreed performance targets."

QMUL Human Resources Strategy 2006-09

- *Preface* “The HR Strategy aims to reward, recognise and motivate our staff and their teams, in order to sustain and improve the success of the College.”
- *Area Two: Rewarding and Developing Talent* “An environment will be created in which individual and team talent is suitably recognised, either through financial or non-financial rewards, in a way which motivates all our staff to do their best and contribute to the sustained success of the College.
 1. Staff and managers will understand why the management of performance is increasingly important at Queen Mary.
 2. Relevant performance approaches will be used to assess all individuals, including those in leadership roles.
 3. Managers, Heads and Vice-Principals will know more about the contribution made by individuals and teams in their areas, in relation to all staff groups.
 4. Support will be provided to those who need to improve their performance and Heads and managers will be able to facilitate the improvement.”

QMUL Staff Development Strategy 2006-09

- *Aim 1 : Leadership and Management Development:*
 - 1.3 “To support the development of a culture of continuous improvement in the delivery of performance.”

Appendix II: SMD Incentivisation Scheme

The SMD Incentivisation Scheme was introduced in 2004/05 to incentivise SMD Institutes to generate additional income. It was initially introduced to cover research overheads but has been expanded to cover Post Graduate tuition fees.

For the incentivisation scheme to operate, the SMD overall must be in surplus against budget.

In order for the Institute to be rewarded, the Institute must exceed their full financial year budget target. The total of their research overhead and PG tuition fees outturn against budget, both home and overseas, are compared to budget and any increase is available for incentivisation.

Institutes with a balanced or surplus I&E (Income and Expenditure) receive 80% with the remaining 20% going to the Medical and Dental School centrally. Of the Institute's 80%, 50% goes to the Research Centre/individual generating the surplus and 30% goes to the Institute centrally. Institutes with a deficit I&E receive 50% with 20% to a Medical & Dental School central code. The remaining 30% helps to bring the Institute into surplus.

Example of surplus to budget at Year End:

Research Overheads £15,000 – worse than Budget
 PG Tuition Fees £25,000 – better than Budget
 Overall Balance £10,000 better than budget

For a Deficit Institute – Institute will receive £5,000 and £2,000 will go to the Central SMD code. The remaining 30%, (£3,000) stays to help bring the Institute into surplus.

For a Surplus Institute – Institute will receive £8,000 (£5,000 goes to Research Centre and £3,000 to Institute centrally) and £2,000 will go to a Central SMD code.

The SMD Management Accounts team provide detailed information on how the share has been calculated, together with any further advice. Information is circulated for comments during June of every year, based on the financial results at period 10. A final adjustment is made in period 12 to take account of the full year performance of the Institute.

Special HEFCE suspense accounts are used for incentivisation and although these roll forward, the Institutes are required to spend the money within a three year period.

NOTE: funding received by an Institute for teaching undertaken on behalf of the School of Biological and Chemical Sciences (SBS) qualifies for inclusion in the SMD Incentivisation Scheme.

Appendix IIIa: Setting Performance Objectives – Teaching & Scholarship Posts

Performance Objective	Performance Indicators
TEACHING	
Delivery of teaching, examination and assessment duties	Details of who/when/what
Continuing Professional Development	Details of teaching-related training/briefing attended, CPD, etc
Annual Peer Observation	Details of most recent (date, name of observer, type of session)
Accreditation and quality assurance	Contribution to accreditation preparation & QA relating to teaching (eg student feedback)
Other	
Evidence of individual teaching excellence (see 16.2.2 and 16.2.3 above, also <i>Managing Teaching Performance</i> report – Appendix A)	
16.2.2 (1)	
16.2.2 (2)	
16.2.2 (3)	
16.2.2 (4)	
16.2.2 (5)	
16.2.2 (6)	
16.2.2 (7)	
16.2.2 (8)	
16.2.3 (1)	
16.2.3 (2)	
16.2.3 (3)	
16.2.3 (4)	

SCHOLARSHIP (including research if applicable – a research scorecard should be attached)	
Provide evidence of appropriate engagement in scholarly activities	
Publication Record	Details of all publications during agreed period.
Research Activity	Source of funds and expenditure for all grants and contracts for the agreed period, details of research overheads, applications submitted
Research student supervision	Names, original registration dates, progress status – for all students over agreed period
Research assistants	Names and sources of funding – for all RAs over agreed period
'THIRD STREAM' ACTIVITIES	
Provide evidence of third stream activities (knowledge transfer, interaction with business and the community, consultancies)	

Subject to joint agreement between supervisor and staff member, objectives may be updated during the year as work circumstances change.

Appendix IIIb: Setting Performance Objectives – Clinical Teachers in Dentistry (≤ 2 PAs)

Background information:

Within Clinical Dentistry, dental undergraduate students undertake clinical practice from their second year of study and routinely perform procedures and treatments on patients. This necessitates clinical teaching and supervision of small groups of students with a high student:staff ratio (currently 10/12:1, but ideally 8:1).

To deliver this teaching the Institute of Dentistry employs a high number of clinical staff, mainly general dental practitioners, on a part-time basis (of 1 or 2 PAs per week). Currently, all these staff are employed as Clinical Lecturers, and therefore would be managed under TS post performance standards.

Looking at the current performance standards for a TS post:

2 academic PAs TS post	
<i>Total hrs</i>	<i>Contact hrs</i>
176	88

- 176 hours over 44 weeks = 4 hours per week total teaching time (for 2 PAs)
- 88 contact hours over 44 weeks = 2 hours per week contact time (for 2 PAs)

The primary role of these part-time staff is for clinical teaching with patients and typically on a 0.2 FTE (2 academic PAs) contract both sessions are spent teaching students on the clinic. This results in a high total teaching time, consistent with their primary role.

2 academic PAs Clinical Teacher	
<i>Total hrs</i>	<i>Contact hrs</i>
308	308

- 7 hours over 44 weeks = 308 hours per year total teaching time (for 2 PAs)
- 7 contact hours over 44 weeks = 308 hours per year contact time (for 2 PAs)

Key Points:

- Part-time 'Clinical Teachers' in Dentistry, although employed as clinical lecturers, have an almost exclusive teaching role during students clinical practice within the Institute of Dentistry and provide almost double the guidance hours for total teaching time and four times the suggested contact hours within current performance standards..
- Assessment of teaching performance for part-time Clinical Teachers in Dentistry should be relevant to, and reflect their role in the Institute.
- It is inappropriate to manage these staff to the performance standards for a TS post as this does not accurately reflect or credit the significant teaching hours being delivered, and minimal time allocated for scholarly activity.
- The above should be recognized during the performance management of these part-time Clinical Teachers in Dentistry, suggested to be carried out alongside appraisal and will have implications for modification the contracts that are currently issued.

Performance Objective	Performance Indicators
TEACHING	
Delivery of teaching, examination and assessment duties	Details of who/when/what
Continuing Professional Development	Details of teaching-related training/briefing attended, CPD, etc
Annual Peer Observation	Details of most recent (date, name of observer, type of session)
Accreditation and quality assurance	Contribution to accreditation preparation & QA relating to teaching (eg student feedback)
Other	
Evidence of individual teaching excellence (see 16.2.2 and 16.2.3 above, also <i>Managing Teaching Performance</i> report – Appendix A)	
16.2.2 (1)	
16.2.2 (2)	
Engagement in work-based Teacher Training	
16.2.2 (4)	
16.2.2 (5)	
16.2.2 (6)	
16.2.2 (7)	
16.2.2 (8)	
16.2.3 (1)	
16.2.3 (2)	
16.2.3 (3)	
16.2.3 (4)	

Subject to joint agreement between supervisor and staff member, objectives may be updated during the year as work circumstances change.

Appendix IV: Setting Performance Objectives - Principal Investigators

Performance Objective	Performance Indicators
TEACHING	
Delivery of teaching, examination and assessment duties	Details of who/when/what
Continuing Professional Development	Details of teaching-related training/briefing attended, CPD, etc
Annual Peer Observation	Details of most recent (date, name of observer, type of session)
Accreditation and quality assurance	Contribution to accreditation preparation & QA relating to teaching (eg student feedback)
Student support	
Education management	
Other	
RESEARCH: To supplement the data provided on the Research Score Card, please provide the detailed information below:	
Research Expenditure - >£200k (>65k dentistry)	Source of funds and expenditure for all grants and contracts for the agreed period, details of research overheads
Grant applications	Details of all grant applications submitted during agreed period
Publication Record	Details of all publications during agreed period.
Research student supervision - three at any one time	Names, original registration dates, progress status – for all students over agreed period
Research assistants - two at any one time (one for dentistry)	Names and sources of funding – for all RAs over agreed period
'THIRD STREAM' ACTIVITIES	
Provide evidence of third stream activities (knowledge transfer, interaction with business and the community, consultancies)	

Subject to joint agreement between supervisor and staff member, objectives may be updated during the year as work circumstances change.

Appendix V: Setting Performance Objectives – Teaching & Research Posts

Performance Objective	Performance Indicators
TEACHING	
Delivery of teaching, examination and assessment duties	Details of who/when/what
Continuing Professional Development	Details of teaching-related training/briefing attended, CPD, etc
Annual Peer Observation	Details of most recent (date, name of observer, type of session)
Accreditation and quality assurance	Contribution to accreditation preparation & QA relating to teaching (eg student feedback)
Student support	
Education management	
Other	
RESEARCH: To supplement the data provided on the Research Score Card, please provide the detailed information below:	
Research Expenditure - >£65k (>30k dentistry)	Source of funds and expenditure for all grants and contracts for the agreed period, details of research overheads
Grant applications	Details of all grant applications submitted during agreed period
Publication Record	Details of all publications during agreed period.
Research student supervision - one at any one time	Names, original registration dates, progress status – for all students over agreed period
Research assistants - one at any one time	Names and sources of funding – for all RAs over agreed period
'THIRD STREAM' ACTIVITIES	
Provide evidence of third stream activities (knowledge transfer, interaction with business and the community, consultancies)	

Subject to joint agreement between supervisor and staff member, objectives may be updated during the year as work circumstances change.

Appendix VI: SMD Research Scorecard (example)

SMD RESEARCH SCORECARD										
NAME	Smith, John		INITIALS	J	TITLE	Prof		INSTITUTE	Omphalology	
STAFF ID	123456		RAE	Y	STATUS	PI		POST	Professor of Comparative Omphalology	
RESEARCH CENTRE	Environmental Omphalology				GRADE	Clin Prof				
	2004/5		2005/6		2006/7		2007/8		COMMENTS	
	Number	£	Number	£	Number	£	Number	£		
Research Expenditure	2	176,890.00	3	218,975.00	5	324,500.00	5	178,900.00		
New Awards	1	175,000.00	1	98,000.00	1	150,000.00	2	500,000.00		
Applications Made	4	2,000,000.00	2	325,000.00	2	175,000.00				
Research Students Supervised	2		2		1		2		Student supervision is taken from the Research Activity Surveys with a census date of 1 December	
PUBLICATIONS - January 2007 onwards										
Journal	Title				Pages	Date	Co-Authors			PUBLICATI
Comparative Omphalology	Is there a piercing epidemic?				250-252	Apr-07				
Int J Omphalology	Randomised trial of jewellery				189-212	Jun-07				
Lancet	Dangers of unsupervised piercing				27-30	Jan-08				
Omphalology	Editorial				15	Mar-08				
	PERFORMANCE STATUS			GREEN						
				AMBER						
				RED						
SIGNED										
DATE										
SIGNED	INSTITUTE DIRECTOR									
DATE										
SIGNED	DEAN FOR RESEARCH									
DATE										

Appendix VII: Application for Transfer to or from a Teaching and Scholarship Post

PLEASE COMPLETE AND SIGN SECTION A BELOW. ONCE SIGNED, THIS FORM SHOULD BE RETURNED TO YOUR INSTITUTE DIRECTOR

SECTION A

1. Please tick one:

This is a request to transfer from:

TS to TR status

TS to PI status

TR to TS status

PI to TS status

2. Personal and Post Details

Institute Research Centre

Name Email address

Title of Current Post Date of appointment to current post

Full-time or part-time contract? If part-time, state % Please specify nature of part-time hours, eg hours per day, days per week, weeks per year, etc

Clinical academics only: give number of contracted academic PAs and APAs: No of Academic PAs No of Academic Additional PAs

3. Teaching Activity: teaching and assessment (undergraduate, intercalated and taught postgraduate)

3.1 Please list all courses to which you contributed teaching **in the previous year leading to 1st August**, giving the duration and the commitment in hours. You should state how much of the hourly commitment is preparation time. Unless there are special circumstances (which you should explain), the amount of preparation time recorded should not exceed the amount of delivery time.

	Duration (wks per yr)	Quantity (hrs per wk)		Provide details of course, year, module etc
		Preparation time	Contact Time	
PBL facilitation				
Lectures				
Supervising seminars				

Project, practical or lab work				
Clinical / communication skills				
Examination and assessment				
Other				

3.2 Peer Observation: Please provide details of the most recent peer observation of your teaching

<i>Date</i>	<i>Name of observer</i>	<i>Type of teaching observed (eg seminar, lecture, PBL)</i>

4. Teaching Activity: educational management

Please provide details of your contribution to the activities of the SMD in one or more of the following areas **in the previous year (to 1st August)**.

4.1 Educational Leadership: Responsibility for a significant component of the undergraduate or postgraduate curriculum (eg, years, modules, courses or programmes)

<i>Duration (wks per yr)</i>	<i>Quantity (hrs per wk)</i>	<i>Provide details</i>

4.2 Development and Delivery of the Curricula: Curriculum planning, timetabling and administration, production of course material, assessment and examination of a significant component of the curriculum

<i>Duration (wks per yr)</i>	<i>Quantity (hrs per wk)</i>	<i>Provide details</i>

4.3 Organisation of Assessment: Organising or supervising a significant assessment as a Principal Examiner, Chair of Examination Board or equivalent

<i>Duration (wks per yr)</i>	<i>Quantity (hrs per wk)</i>	<i>Provide details</i>

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4.4 Quality Enhancement: An active role in monitoring and responding to student feedback and evaluations. Contribution to internal or external quality assessment processes

<i>Duration (wks per yr)</i>	<i>Quantity (hrs per wk)</i>	<i>Provide details</i>

4.5 Student Support: Senior Tutor duties or is a member of the pastoral pool

<i>Duration (wks per yr)</i>	<i>Quantity (hrs per wk)</i>	<i>Provide details</i>

4.6 Other educational management activity: please specify

<i>Duration (wks per yr)</i>	<i>Quantity (hrs per wk)</i>	<i>Provide details</i>

5. Teaching Activity: annualised totals

Taking into account all activities listed in sections 2 and 3 above, please provide **annualised total hours** for your teaching activities **in the previous year (to 1st August):**

Direct teaching contact time

Activities in support of teaching (preparation time, education management, student support, etc)

6. Scholarly Activity

Please give details of the Scholarly activity that you have undertaken **in the previous year (to 1st August)** with an approximate commitment in hours. Please give evidence of any assessable outputs that you have achieved.

--

7. Research Activity

Please **attach** your most recent **Research Scorecard** and provide any other relevant evidence of your research activity and assessable outputs **in the previous three years (to 1st August)**.

8. Marks of Esteem

Please give details of any marks of educational and or research esteem that you have achieved **in the previous three years (to 1st August)**, eg: work as an external examiner, educational consultant, reviewer, chair of educational committees at a national or international level, etc.

9. Proposed location of revised post

Will the post remain in current Institute/Centre?

Yes

No

If no, please specify proposed new Institute/Centre:

10. Other information

Please provide here any other information which you feel may be relevant to this application:

11. Signature

	Name in BLOCK CAPITALS	SIGNATURE	DATE
Postholder			

SECTION B: Analysis and Outcome

Enter name of postholder

Confirmation that:

Requesting transfer:

TS to TR

TS to PI

TR to TS

PI to TS

Either

The above-named meets the criteria for the proposed revised academic status

Or

The above-named individual can be expected to meet the criteria for the proposed revised status with the following recommendation(s):

Or

The above-named individual does not meet the criteria for the proposed revised status for the following reason(s):

SIGNATURE

DATE

Institute Director

**Professor CG Fowler
Dean for Education**

**Professor TT Macdonald
Dean for Research**

**Dr R Bennett
Chief Operating Officer**