

## 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 Faculty of Medicine and Dentistry (FMD) since 2003. Some clarification/updating of these standards occurred in: February 2005, May 2006, and May 2009
- 1.2 This version of the Faculty's Performance Standards is fundamentally unchanged from the May 2009 version; hyperlinks have been updated and the document now reflects QMs most recent strategy and initiatives. The old FMD incentivisation scheme has been replaced by the Queen Mary Flexible Research Fund – see Appendix 1 for brief details.
- 1.3 Please note these standards are subject to further review in 2023. The review outcomes and standard updates will be sent via Faculty Executive Board and internal communications.

### 2. Benefits of Performance Management

- 2.1 The single most important asset in ensuring successful delivery of the College's, FMD'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 FMD's staff is essential to:
  - Enable staff to understand clearly what is expected of them;
  - Allow the FMD 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; aligned with initiatives such as Athena SWAN and the QM B-Mentor scheme;
  - Enable Institute Directors (Dols) to identify and nurture areas of outstanding capability that would represent major priority areas for investment by the FMD;
  - 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;
- 2.3 The FMD's performance management arrangements provide a framework for the FMD's academic community to pursue identified strategies and targets to advance excellence in research, teaching and supporting 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 FMD's research effort.
- 2.5 Within the FMD, 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 FMD 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 or above. Staff who consistently fail to meet minimum performance standards are managed in accordance with QM'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.

## SECTION B: TYPES OF ACADEMIC POSTS IN THE FMD

### 3. General Features

- 3.1 Within the FMD 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)
  - 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 FMD 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 supportive activities is contained within the ratios for teaching (TS, PI and TR posts), research (PI and TR posts) and scholarly activity (TS posts).
- 3.4.3 For staff who hold significant (i.e., occupying greater than, on average, 20% of the working week) management/leadership roles at Faculty Executive level• for example Deans, Deputy Deans, Institute Directors - an apportionment of average weekly time for these roles is agreed at Faculty 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 11 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)
  - Supporting 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, 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 FMD, and reflects the Faculty'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 at least half the time allocated for teaching activity will be direct student contact. See Section 16 below.
- 4.3 Excellence in both the teaching and scholarly activity of a TS academic's contribution to the FMD, 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 FMD'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 FMD also encourages and values contributions to teaching by PIs who are funded from neither 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 FMD, 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 FMD's research agenda.

6.2 TR posts funded by HEFCE and/or the NHS are required to contribute to the teaching activities of the FMD. Those funded from other sources are normally expected to make a 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 FMD, 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 supporting activities relating to teaching.
  - 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 (e.g., 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 counted as part of the clinical component of 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 FMD'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
  - 8.2 Research activity must be coherent with the research aims and objectives of the QM, Faculty and Institute [<https://www.QM.ac.uk/strategy-2030/>]
  - 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 FMD's post-REF 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 Whilst engaging in research is not an expectation of a TS role 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. The research undertaken however should not make them an independent researcher and there should not be an expectation of research activity being reflected in job profiles and appraisals.

Research undertaken as part of scholarly activity must be coherent with the research aims and objectives of QM, FMD and Institute, [<https://www.QM.ac.uk/strategy-2030>]

- 9.3 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 17 below.

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

- 10.1 All academics who perform leadership or management roles, including having line managerial responsibility for other staff (at College, FMD, Institute, Centre, Unit or team level) are reviewed against minimum standards for management and leadership which are designed to benefit all members of FMD staff through being appropriately and effectively managed. See Section 21 below.
- 10.2 For staff holding significant (occupying >20% of working week) management and leadership roles at Faculty Executive level -for example Deans, Deputy Deans, Institute Directors- an apportionment of average weekly time for these roles is agreed at Faculty 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 16 below. However, each case will be determined individually.
- 10.3 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.

## 11. Supporting activity (TS, PI and TR posts)

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

## SECTION D: THE MANAGEMENT OF ACADEMIC PERFORMANCE WITHIN THE FMD

### 12. The Process

- 12.1 Staff and their managers are encouraged to meet on a three monthly basis 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.
- 12.2 Performance review is usually conducted contemporaneously with appraisal, though academics may opt for them to be conducted at separate meetings.
- 12.3 The overall performance of an academic is assessed annually on the basis of the previous three-year period.
- 12.4 Other than for <2PA Clinical Dentists, assessment of a TS academic's performance in teaching and scholarly activity is done using Appendix IIa below. Assessment of a TS part-time (<2PAs) Clinical Dentist's performance is done in accordance with Appendix IIb below.
- 12.5 Assessment of PI and TR academics' performance in teaching and research is done using Appendices III and IV respectively.
- 12.6 Records of the annual performance review meeting are held at an Institute level.

### 13. Transfer between Types of Academic Post

- 13.1 All three types of academic posts (TS, PI and TR) have equal academic status and equal promotion possibilities.
- 13.2 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.
- 13.3 It is important that the FMD'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 performance to be managed accordingly.
- 13.4 The effective date of transfer between types of academic post will usually be the beginning of the financial year (1<sup>51</sup> 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.
- 13.5 Transfer to a different academic status (TS, TR, PI) must be agreed by the Vice Principal (Health) and Institute Director and notified to the FMD Chief Operating Officer and the HR Manager (FMD).
- 13.6 Transfer to TS
  - 13.6.1 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 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.

13.6.2 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.

### 13.7 Transfer from TS

13.7.1 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.

13.7.2 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 and therefore a different administration and line management, the budget for their post will transfer with them.

### 13.8 Transfer from TR to PI

13.8.1 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 be eligible for consideration for transfer to a PI post.

### 13.9 Transfer from PI to TR

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

## 14. Failure to meet minimum performance standards

14.1 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 QM's Code of Practice for Remediating poor performance.

## SECTION E: THE PERFORMANCE STANDARDS

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

#### 15.1 Teaching hours

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

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

	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 IIb.

#### 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 QM report *Managing Teaching Performance*

1. High 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, for example:
  - 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 QM report *Managing Teaching Performance*:

- 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.
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.

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\* 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.

## 16. Standards for Research (PI and TR posts)

16.1 Owing to the different nature of Dental Education and Research, different research performance standards are set for staff within the Institute of Dentistry.

16.2 For clinical academics, the minimum output levels given below in Sections 16.4 and 16.5 are adjusted *pro rata* to the agreed academic proportion of their contracted job plan.

16.3 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 FMD's/Institute's/Centre's research environment, for example research group and journal club meetings, seminars, audit meetings, etc.
- Demonstrate appropriate rates of grant and paper submissions.
- Undergo initial training for PhD supervision, plus any follow up training as required.
- Ensure that they and their research students comply with all FMD Graduate Faculty 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 Faculty research has maximum impact in the metrics-based REF assessments and other similar exercises, grants and contracts awarded to Faculty researchers should be managed and administered by the Faculty (unless research governance requirements indicate otherwise). Publications must be attributed in accordance with the QM's current policy

[<https://arcs.QM.ac.uk/policy/> <https://arcs.QM.ac.uk/policy/>] and [[https://arcs.QM.ac.uk/media/arcs/policyzone/QM\\_Citation\\_Policy\\_for\\_publication\\_Dec13.pdf](https://arcs.QM.ac.uk/media/arcs/policyzone/QM_Citation_Policy_for_publication_Dec13.pdf)]

16.4 The minimum outputs expected for Principal Investigator (PI) posts are:

- Medicine: Annual externally funded research expenditure of >£200k
- Dentistry: Annual externally funded research expenditure >£65k
- Publish in journals (or other media) most appropriate for your field of research that will achieve the maximum engagement and dissemination
- 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.

16.5 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
- Publish in journals (or other media) most appropriate for your field of research that will achieve the maximum engagement and dissemination
- Supervision of one research student at any one time
- Supervision of one research assistant at any one time

## 17. Standards for Scholarly Activity (TS posts)

17.1 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.

17.2 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.

## 18. "Good Citizenship" and Professional Academic Standards (TS, PI and TR posts)

18.1 All academics will conduct themselves professionally in accordance with the key principles embodied within the College's stated core Commitments please see [\[https://www.QM.ac.uk/strategy-2030\]](https://www.QM.ac.uk/strategy-2030)

18.2 Staff must observe and act in accordance with QM's [Dignity at Work Policy](#) and [Codes of Practice](#)

18.3 All staff are also expected to:

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

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

18.5 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 [\[https://www.QM.ac.uk/queenmaryacademy/postdocs/concordat/\]](https://www.QM.ac.uk/queenmaryacademy/postdocs/concordat/)
- Allowing all staff appropriate opportunities for training and development.

18.6 In addition, Centre Leads and Institute Directors are expected to:

- Comply with the [College's Ordinances](#)
- 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 FMD colleagues in other Centres/ Institutes, with the central FMD and College management and with NHS colleagues in associated Trusts/Divisions/Clinical Boards

Demonstrate significant leadership in the Centre's/Institute's activities, providing guidance and encouragement to other staff members

## Appendix 1: QM Flexible Research Fund

QM Flexible Research Fund aims to encourage better recovering of research cost; improve funding per FTE to promote research.

### Attributes

- An allowance proportional to 20% overhead on any grant contract is to be returned to the flexible research account(s) of the investigator(s) on the grant.
- FRFs can be used for any activity permitted by the University regulations- studentships, conferences, equipment, books, contributions to leverage bids for internal support.
- Overhead is calculated on Worktribe as any grant income over and above 100% FEC on the Directly Attributed Costs (fixed term staff, consumables, equipment travel and other directly attributable costs
- FRF is based on forecast research overhead spend for the financial year (1st August – 31st July), The faculty-based finance reporting team will prepare updated reports of allocations I February of each year to reflect any new awards that have started since the previous report.
- All funds allocated within the year must be spent by 31st July and nothing can be carried forward into the next financial year.
- FRFs will only be provided to named investigators on a grant i.e., not to fixed term staff
- When there are multiple applicant grants, the investigators will decide at the time of application, and record with the relevant faculty research manager ( or other responsible designated for FMD), their agreed overhead for that grant between them ( this might be , but does not have to be, the hours charged).

## Appendix IIa: Setting Performance Objectives- Teaching & Scholarship Posts

Performance Objective	Performance Indicators
<b>TEACHING</b>	
Delivery of teaching, examination and assessment duties	Details of Who? When? What?
Continuing Professional Development	Details of teaching-related training/briefing attended, CPO, 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	
<b>Evidence of individual teaching excellence</b> (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)	



<b>SCHOLARSHIP (including research if applicable- the research scorecard should be attached)</b>	
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

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

**Appendix IIb: Setting Performance Objectives -Clinical Teachers in Dentistry (< or = 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.

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 performance standards.

Looking at the current performance standards for a TS post:

2 academic PAs TS post		
Total hrs	Contact hrs	<ul style="list-style-type: none"> <li>• 176 hours over 44 weeks = 4 hours per week total teaching time (for 2 PAs)</li> <li>• 88 contact hours over 44 weeks = 2 hours per week contact time (for 2 PAs)</li> </ul>
176	88	

The primary role of these part-time staff is for clinical teaching with patients and typically on a 1.2 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 TS post		
Total hrs	Contact hrs	<ul style="list-style-type: none"> <li>• 7 hours over 44 weeks = 308 hours per year total teaching time (for 2 PAs)</li> <li>• 7 contact hours over 44 weeks= 308 hours per year contact time (for 2 PAs)</li> </ul>
308	308	

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 recognised 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
<b>TEACHING</b>	
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 (e.g. student feedback)
Other	
<b>Evidence of individual teaching excellence (see 16.2.2 and 16.2.3 above)</b>	
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 III: Setting Performance Objectives - Principal Investigators

Performance Objective	Performance Indicators
<b>TEACHING</b>	
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 (e.g. student feedback)
Student support	
Education management	
Other	
<b>RESEARCH: To supplement the data provided on the Research Score Card, please provide the detailed information below:</b>	
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

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 – Teaching & Research Posts

Performance Objective	Performance Indicators
<b>TEACHING</b>	
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 (e.g. student feedback)
Student support	
Education management	
Other	
<b>RESEARCH: To supplement the data provided on the Research Score Card, please provide the detailed information below:</b>	
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

**Appendix V: Application to transfer between post designations.**

**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	<b>TS to TR status</b>	<input type="checkbox"/>	<b>TS to PI status</b>	<input type="checkbox"/>
	<b>TR to TS status</b>	<input type="checkbox"/>	<b>PI to TS status</b>	<input type="checkbox"/>

**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, e.g. hours per day, days per week, weeks per year, etc.

<b><i>Clinical academics only:</i></b> give number of <u>contracted</u> academic PAs and APAs:	No of Academic PAs	<input style="width: 50px; height: 30px;" type="text"/>	No of Academic Additional PAs	<input style="width: 50px; height: 30px;" type="text"/>
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**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 1<sup>st</sup> August**, giving the duration and the commitment in hours. You should state how much of the hourly commitment 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	
<u>PBL facilitation</u>				
<u>Lectures</u>				
<u>Supervising seminars</u>				

Project, practical or lab work				
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<u>Clinical / communication skills</u>				
<u>Examination and assessment</u>				

<u>Other</u>				
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**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 (e.g. seminar, lecture, PBL)</i>

#### **4. Teaching Activity: educational management**

Please provide details of your contribution to the activities of the FMD in one or more of the following areas **in the previous year (to 1<sup>st</sup> 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>

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**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>

**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 1<sup>st</sup> 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 1<sup>st</sup> 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 1<sup>st</sup> August)**.



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):

	<b>SIGNATURE</b>	<b>DATE</b>
<b>Institute Director</b>		
<b>Dean for Research</b>		
<b>Dean For Education</b>		
<b>Faculty Director of Operations</b>		