



Annual Academic Performance Appraisal Guidelines 2023

Table of Contents

1. Overview.....	1
2. Eligibility	2
• Notes on eligibility	2
3. Review Period	3
4. What you are required to submit for your review.....	3
• Notes on the documentation required.....	3
5. Guidance for preparing your review.....	4
• How to use Progress	4
6. Salary progression.....	5
7. Process	5
7. Timetable.....	6
8. Reviewers	6

1. Overview

The purpose of the Annual Performance Appraisal is to review performance and assessment of achievements over the last period, and to discuss career development and key objectives for the coming review period.

The Annual Performance Appraisal of Academic Staff (APA) applies to all staff in the following positions who were in the post on or before 1 September 2023:

- Lecturers
- Research Fellows
- Teaching Fellows and Senior Teaching Fellows
- Professional Practice Fellows and Senior Professional Practice Fellows
- Assistant Research Fellows
- Scientific Officers
- Postdoctoral Fellows

Each APA staff member will submit a review statement online, and this record of performance will be assessed by a reviewer who is the Head of Department or their delegate.

Salaries are reviewed at the time of the performance review. If your performance is deemed satisfactory, and you are in an eligible role and not already at the top of the scale, you will receive a one-step salary increase on 1 February 2024.

2. Eligibility

The Annual Performance Appraisal of Academic Staff (APA) applies to all staff in the following positions who were in the post on or before 1 September 2023:

Lecturers (including College of Education Teacher Education Fellows on Band 1)
Research Fellows
Teaching Fellows
Senior Teaching Fellows
Professional Practice Fellows
Senior Professional Practice Fellows
Assistant Research Fellows – below and beyond the bar
Scientific Officers
Postdoctoral Fellows

Notes on eligibility

- **Confirmation Path staff** are not required to participate in the review unless requested by the Head of Department.
- **Staff members at the top of a salary range** are required to participate in a performance review even though there is no salary review associated with it.
- **Postdoctoral Fellows** are required to participate in a performance review even though there is no salary review associated with it.
- **Staff members applying for promotion** are required to participate in the review by including their application. If the promotion application is unsuccessful, the salary will be assessed as part of this review.
- **Staff members on Research and Study Leave** are required to participate in the review.
- **Staff members taking parental leave** should be reviewed. Heads of Departments should assess the staff member's performance during the months that they were at work over the review period. The underlying principle is that staff members should not be disadvantaged by taking parental leave. If it is possible, the staff member planning parental leave should prepare their statement of achievements prior to their departure.
- **Staff members who are retiring** will normally be eligible if their employment is continuing into the 2023 academic year.
- **Staff on fixed-term agreements** are included in the review even if their employment terms ends before February 2023. These staff members may be eligible for a salary progression on 1 February if another consecutive fixed-term agreement is offered.
- **Part-time staff with FTE of 0.1 or less** may complete a review if required by the Head of Department.

3. Review Period

The start of the review period is the most recent of the following:

- **Last review:** November 2022.
- **Promotion:** the date of applying successfully for promotion (July 2022).
- **Appointment:** date of appointment, - between 1 November 2022 and 1 September 2023.

4. What you are required to submit for your review

You must submit a review statement and attach the required evidence. All documentation is submitted via the online system [Progress](#).

Your review statement contains:

- a. A summary of your achievements during the review period, in **teaching** and/or **research**, and **service**
- b. comment on **objectives** for the next review period.

You need to attach evidence appropriate to the role and expectations of the position in order to support your review statement. The documentation required will be determined by the Head, Dean or Pro-Vice-Chancellor, depending on the requirements of each Division or School.

The following supporting documents are recommended:

- a. Up-to-date, standard University of Otago CV with outputs and activities in the review period highlighted.
- b. Schedule of Teaching Responsibilities for the review period in the standard template.
- c. Standard evaluations of teaching for the review period.

Notes on the documentation required

- **Confirmation Path staff** – If you have been requested to participate in the review, you will need to submit your most recent confirmation path report and any further evidence that the Head of Department requests. Since reporting takes place as part of the confirmation path, commentary in this review can be very brief.
- **Research-only staff** are not required to submit the documentation relating to teaching described above.

- **Teaching-only staff** are not required to submit the documentation relating to research described above.
- **Promotion applicants:** if you applied for promotion in May 2023 you may attach your promotion application documents instead of the documentation requested above. You are still required to make comments on (d.) key objectives and goals.

5. Guidance for preparing your review

- For guidance about the expectations for your academic role, consult the [Academic Titles guidelines](#) on the Human Resources website.
- Refer to last review – you should refer to the objectives and reviewer comments in your last review when preparing the statement.
- [Strategic Frameworks](#) – you may wish to consider how your work has aligned with the University's strategy and objectives, particularly:
- [Research and Study Leave](#) – if you have taken RSL, you should provide an update on progress that relates to your most recent period of RSL. Describe how the recent RSL has contributed positively to the work of the University.
- [Otago standard CV template](#) – remember to highlight research outputs and other activities in the review period.
- [Schedule of Teaching Responsibilities template](#) – this provides a record of the range, level and time commitment of your teaching.
- Standard evaluations of teaching include reports from questionnaires undertaken using [Otago inFORM](#), and 'Record of Peer Review' forms which are used to summarise the results of any [peer reviews](#) undertaken.
 - [Peer review of teaching form](#) (Word)
 - [Peer review of supervision form](#) (Word)
- Advice on how to [evaluate your teaching](#) can be found on the Higher Education Development Centre's website.

How to use Progress

[Progress](#) is the online portal for all academic reviews. A list of frequently asked questions is available online: [Progress FAQ](#).

The review statement is entered in text fields in Progress. The online system allows a total of 5,000 characters across four text fields (*Teaching, Research, Service, and Key Objectives*). This is approximately 1 to 1.5 pages. Note that spaces and line breaks are included in the character count.

There is an additional text field (500 characters) available if needed: *More Information and Leave*.

Word or PDF documents can be attached for supplementary information.

6. Salary progression

On 1 February 2024, the Human Resources Division implements a one-step salary increment for eligible academic staff if they were appointed on or before 1 September 2023 and their performance is satisfactory.

- Assistant Research Fellows progress to step 2 through to step 6
- Assistant Research Fellows beyond the bar progress to step 8 through to step 10
- Teaching Fellows/Professional Practice Fellows Band 1 progress to step 2 through to step 5
- Teaching Fellows/Professional Practice Fellows Band 1 (medical/dental) progress to step 2 through to step 4
- Teaching Fellows/Professional Practice Fellows Band 2 progress to step 2 through to step 5
- Teaching Fellows/Professional Practice Fellows Band 2 (medical/dental) progress to step 2 through to step 3
- Senior Teaching Fellows/Senior Professional Practice Fellows Band 3 progress to step 2 through to step 4
- Senior Teaching Fellows/Senior Professional Practice Fellows Band 3 (medical/dental) progress to step 2 through to step 4
- Senior Teaching Fellows/Senior Professional Practice Fellows Band 4 progress to step 2 through to step 6
- Senior Teaching Fellows/Senior Professional Practice Fellows Band 4 (medical/dental) progress to step 2 through to step 6
- Lecturers progress to step 2 through to step 7
- Research Fellows progress to step 2 through to step 7
- Scientific Officers progress to step 2 through to step 7
- Teacher Education Fellows within TEF1 progress to step 2 through to step 7

7. Process

1. Promotions and Remuneration, Human Resources, emails all eligible APA staff, Heads of academic units, Deans, and PVCs.
2. Each Head determines the timeframe within which APA staff need to submit their documentation.
3. Each Head may delegate some reviews to 'Special Reviewers'. In these cases the Head informs the APA staff member and the Special Reviewer. The Head forwards these guidelines to the Special Reviewer.
4. APA staff prepare a review statement in [Progress](#).
5. The Head or Special Reviewer meets with each eligible APA staff member to discuss their performance and career development.
6. Heads/Special Reviewers will enter comments in Progress to:

- a. validate the quality of the achievements and evidence
 - b. comment on the key objectives that have been agreed for the next review
 - c. assess whether performance is satisfactory
 - d. make a recommendation for a salary progression (if applicable).
 - A recommendation for a single step progression requires no further commentary or explanation.
 - A recommendation for no progression will require a case setting out the reasons for the recommendation.
7. The completed review documentation is submitted to Promotions and Remuneration, Human Resources.
 8. Promotions and Remuneration, Human Resources will advise staff of the review outcomes.

7. Timetable

The week commencing 23 October 2023	Review opens. Human Resources e-mails guidelines to eligible academic staff, Heads of Department, Heads of School, Deans and Pro-Vice-Chancellors.
October / November 2023	Academic staff submit their reviews and meet with their reviewer: HODs/Heads of Schools or delegated reviewer
15 January 2024	Reviews completed by reviewers in progress
January 2024	Human Resources emails APA staff the outcome of the review.
1 February 2024	Effective date for any approved salary progressions.

8. Reviewers

There is one level of review in the Academic Performance Appraisal. The Reviewer is set by default as the Head of the unit. The Head may delegate individual reviews to 'Special Reviewers'. In these cases the Head informs the APA staff member and the Special Reviewer.

Contact for further information:

Human Resources Academic Reviews team, Promotions and Remuneration

Email hr.academicreviews@otago.ac.nz