



Annual Performance Appraisal of Academic Staff Guidelines

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. This document outlines the procedures for assessing the performance and reviewing salary of academic staff not subject to other annual or biennial performance reviews.

Eligibility

The Annual Performance Appraisal of Academic Staff (APA) applies to all Academic Staff in the following positions who are appointed on for before 1 September 2021 (Annex A, and Annex B):

- Lecturers (confirmation path and fixed term)
- Research Fellows
- Senior Teaching Fellows
- Teacher Education Fellows (Band 1)
- Assistant Research Fellows – below and beyond the bar
- Professional Practice Fellows
- Scientific Officers
- Postdoctoral Fellows
- Teaching Fellows – below and beyond the bar

Review Period

The review period is determined by the most recent of the following:

- **Last review** – the date documentation for the last APA review (i.e. November 2020)
- **Promotion** – the date of applying successfully for promotion (the application submission date of May 2020)
- **Appointment** – date of appointment

Salary Review

Salaries are reviewed at the time of the performance review. Those whose performance is deemed satisfactory will receive a one-step salary increase (Annex B). The effective date for the increase is 1 February 2022. Those who are at the top of the salary scale will not be eligible for a salary review increase but are still required to undertake a performance review.

If you are on confirmation path, applied for promotion, on research or study leave, fixed term contract, research or study leave, further guidance is set out in Annex A.

Timeline

Week commencing 25 October 2021	Academic Performance Appraisal commences All eligible staff receive information on the APA process from HR HOD and Deans granted access to Progress
10 January 2022	Reviews completed and signed off
January 2022	HR will advise eligible staff of the outcome of the review
1 February 2022	Effective date for any approved salary progressions.



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Review Process

An online portal [Progress](#) is used to administer the reviews and appraisals of academic staff.

Instructions on how to use Progress are available at the following link:

<https://www.otago.ac.nz/humanresources/otago254002.pdf>

When you submit your review, you will be asked to provide:

1. A **review statement** which is a summary of your achievements in the review period **and**
2. A **Curriculum Vitae (CV)** (*as an attachment*)
3. Evidence appropriate to the role and expectations of the position – teaching, research or both, and service. The documentation will be determined by the HOD, Dean or PVC, depending on the requirements of each Division.

1. Review Statement

In your review statement you will need to provide the following:

- i. Summary of significant achievements in teaching during the review period (this only applies to those who hold a teaching role)
- ii. Summary of research accomplishments during the review period
- iii. Summary of service activities during the review period
- iv. Comment on key objectives for the next review period

Entering review statement:

The review statement is entered in text fields in Progress. The online system allows a total of 5,000 characters across the text fields (*Teaching; Research/Professional Practice; Service; Key Objectives and Academic Goals; More Information*) to be entered. This is approximately three pages.

There is an additional text field (500 characters) available if needed in the field: *Leave*.

You can attach Word or PDF documents for supplementary information.

2. Curriculum Vitae (CV)

You will need to provide an up to date standard University of Otago CV with outputs from the review period highlighted.

You can find information on how to complete a University of Otago CV at the following link:

[Otago standard CV template](#) – remember to highlight outputs in the review period.

3. Evidence

Teaching Positions

A schedule of teaching responsibilities for the review period will need to be submitted in the standard template [Schedule of Teaching Responsibilities template](#). This is a record of the range, level and time commitment of teaching.

Standard Evaluations of Teaching

In addition you will need to submit **standard evaluations** for the review period, including:

- Reports from student questionnaires undertaken using [Otago inFORM](#).
- [Peer review forms](#), which are used to summarise the results of any peer reviews undertaken.



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Advice on how to [Evaluate your teaching](#) can be found on the Higher Education Development Centre's website.

Research-only Positions:

It is important that the CV is up to date and consistent with your Review Statement. They may wish to include research metrics in their Review Statement. They may submit teaching evidence but this is not a requirement unless specified by their HoD.

Covid-19 considerations

Reviewers will consider your review period activity within the context of the disruption caused by Covid-19 over the last few months. You do not need to describe how you were affected unless you feel there were special circumstances unique to your situation.



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Annex A

The Review Process also applies to:

Confirmation Path staff

Confirmation Path staff are not required to participate in the review unless their HOD requires them to. If the HOD requires a review from the Confirmation Path staff member, they need to set the review back to the Confirmation Staff member to complete.

If a review is NOT required, the HoD is required to confirm whether the Confirmation Staff's performance is satisfactory on the system.

Staff who applied for promotion

Staff who applied for promotion are still included in the review. Please upload the promotion statement to the Progress review.

- For staff unsuccessful in their promotion a review must be completed.
- For staff successful in their promotion, it is up to the HoD whether a review is needed. If a review is required, the HOD will need to set the review back to the staff member to complete.

Staff on Research / Study Leave

Employees are required to still participate in the review whilst they are on Research and Study Leave.

Staff on fixed-term agreements are included in the review

Staff on a fixed term are included in the review even if their employment terms ends before February 2022. These staff members may be eligible for a salary progression on 1 February if another consecutive fixed-term agreement is offered later in the year.

Roles which do not have a salary review

There are roles which do not have any salary review attached to them. In these cases, employees are still required to participate in the annual review.

Staff on Parental Leave

Staff who are on parental leave should still participate in the performance review. 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 possible, prior to the staff member planning parental leave, they should prepare a statement of achievements prior to their departure.

Staff on top of salary scale

All eligible staff, including those at the top of the pay scale are required to participate in a performance review, even though there is no salary review associated with it.

Staff who will be retiring

Where an employee employment is continuing into the 2021/22 academic year, they are to participate in a salary review.

The Review Process Does Not Apply to:

- Staff with an FTE less than 0.1 are not included in the review.



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Annex B

Positions eligible for one step salary increase with effect 1 February 2022

On 1 February 2022, the Human Resources Division implements a one-step salary increment for eligible academic staff if they were appointed on or before 1 September 2021 and their performance is satisfactory. The following Academic staff members are eligible for a one step salary increment:

- 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 progress to step 2 through to step 4;
- Teaching Fellows (medical/dental) progress to step 2 through to step 4;
- Teaching Fellows beyond the bar progress to step 6 through to step 9;
- Teaching Fellows (medical/dental) beyond the bar progress to step 6 through to step 7;
- 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;
- Senior Teaching Fellows progress to step 2 and step 3;
- Professional Practice Fellows within PP1 progress to step 2 through to step 5;
- Professional Practice Fellows within PP1 (medical/dental) progress to step 2 through to step 4;
- Professional Practice Fellows within PP2 progress to step 2 through to step 5;
- Professional Practice Fellows within PP2 (medical/dental) progress to step 2 through to step 3;
- Teacher Education Fellows within TEF1 progress to step 2 through to step 7.