



# Annual Performance Appraisal of Academic Staff Guidelines 2022

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

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 2022:

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

If you are on confirmation path, a fixed-term agreement, on leave, or if you applied for promotion this year, you are included in this review. Further guidance is set out under Eligibility and under Documentation required.

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 2023.

## 2. Timeline

Week commencing 7 November 2022	Academic Performance Appraisal commences All eligible staff receive information on the APA process from HR HOD and Deans are granted access to Progress
9 January 2023	Reviews completed by reviewers in Progress
January 2023	HR will advise eligible staff of the outcome of the review
1 February 2023	Effective date for any approved salary progressions.

### **3. Review Process**

You are asked to submit a review statement online. An online portal [Progress](#) is used to administer the reviews and appraisals of academic staff.

Your online submission will be reviewed by your Head of Department or a delegated staff member. If the Head is delegating your review to someone else (for example, your direct supervisor), they will let you know.

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

- A review statement which is a summary of your achievements in the review period
- Curriculum Vitae (CV)
- Evidence appropriate to the role and expectations of the position – teaching, research, or both, and service. The documentation required will be determined by the Head, Dean or Pro-Vice-Chancellor, depending on the requirements of each Division or School.

Your reviewer should meet with you to discuss your achievements, career development, and key objectives for the coming review period.

Your reviewer will then complete their part of the Progress review to:

- validate the quality of the achievements and evidence
- comment on the key objectives that have been agreed for the next review
- assess whether performance is satisfactory
- confirm salary progression (if applicable).

### **4. 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 2021)
- **Promotion** – the date of applying successfully for promotion (the application submission date of May 2021)
- **Appointment** – date of appointment (i.e. between 2 September 2021 and 1 September 2022)

### **5. Documentation required**

#### **5.1 Review statement**

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

- Summary of significant achievements in teaching during the review period
- Summary of research accomplishments during the review period
- Summary of service activities during the review period
- Comment on key objectives for the next review period

## 5.2 How to enter the review statement in [Progress](#):

The review statement is entered in text fields in Progress. The online system allows a total of 5,000 characters to be entered across five text fields (*Teaching; Research/Professional Practice; Service; Key Objectives and Academic Goals; More Information*). This is approximately 1 to 1.5 pages.

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

You can attach Word, Excel or PDF documents for supplementary information.

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

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

## 5.3 Curriculum Vitae (CV)

You will need to provide an up-to-date standard University of Otago CV with activities in the review period highlighted.

You can find the University of Otago CV template at the following link: [Otago standard CV template](#)

## 5.4 Teaching evidence – schedule of teaching

A schedule of teaching responsibilities in the standard template is required: [Schedule of Teaching Responsibilities template](#). This is a record of the range, level and time commitment of teaching.

## 5.5 Teaching evidence – evaluations of teaching

You will need to submit standard evaluations of teaching 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.

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

## 5.6 Evidence for research-only positions

Research-only staff are not required to submit the documentation relating to teaching described above. It is important that the CV is up-to-date and consistent with the Review Statement.

## 5.7 Evidence for Confirmation Path staff

Staff members on the Confirmation Path should attach the current or most recent Confirmation Path document. Unless requested by the Head of Department, Confirmation Path staff are not asked to provide any further supporting documentation beyond existing confirmation path reports. Since reporting takes place as part of the confirmation path, commentary in this review can be very brief.

### **5.8 Evidence for staff who applied for promotion**

Staff members who have applied for promotion in July 2022 may attach promotion application documents instead of the documentation requested above. These staff are still required to make comments on key objectives and goals.

## **6. 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 2022.

- 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

### **6.1 Confirmation Path staff**

Confirmation Path staff are included in the review. Since reporting takes place as part of the confirmation path, commentary in this review can be very brief. See above under Evidence for Confirmation Path staff.

### **6.2 Promotion applicants**

Staff members who have applied for promotion in July 2022 are included in the review. Since promotion applicants have already prepared a portfolio of evidence, it may be that no further evidence is required by the reviewer. See above under Evidence for staff who applied for promotion.

If the promotion application is unsuccessful, the salary will be assessed as part of this review.

### **6.3 Staff on Research and Study Leave**

Staff on Research and Study Leave are required to participate in the review.

### **6.4 Staff on fixed-term agreements**

Staff on a fixed term are included in the review even if their employment 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.

### **6.5 Appointment types where no salary progression is possible**

Some appointment types do not have any salary review attached to them. In these cases, staff are still required to participate in the annual review.

### **6.6 Staff on Parental Leave**

Staff who are on parental leave should still participate in the 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.

### **6.7 Staff at top of salary scale or at a salary bar**

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

### **6.8 Staff who will be retiring**

Where employment is continuing into the 2023 academic year, they are to participate in a salary review.

### **6.9 Staff on less than 0.1FTE**

Part-time staff with an FTE on less than 0.1FTE are not included in the review unless required by the Head of Department.

## **7. Salary progression**

On 1 February 2023, the Human Resources Division implements a one-step salary increment for eligible academic staff if they were appointed on or before 1 September 2022 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/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

## *Annual Performance Appraisal of Academic Staff Guidelines 2022*

- 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

### **8. Further information**

This APA Guidelines document is found at

<https://www.otago.ac.nz/humanresources/otago698191.pdf>

The [Academic Performance Appraisal webpage](#) contains links to further process information for APA staff, reviewers and Client Services staff, including the following:

- A detailed process guide to assist Client Services and Reviewers, available at [Annual Performance Appraisal Process](#).
- Instructions for Client Services and HoDs to delegate a review to a Special Reviewer, available at [Re-assigning Reviewers in Progress](#).

For further information, contact the Human Resources Promotion and Remuneration team at [hr.academicreviews@otago.ac.nz](mailto:hr.academicreviews@otago.ac.nz).