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 2019 (Annex A and Annex B):

- Lectures
- Postdoctoral Fellows
- Research Fellows
- Senior Teaching Fellows
- Teacher Education Fellows (Band 1)
- Assistant Research Fellows – below and beyond the bar
- Professional Practice Fellows
- Scientific Officers
- 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 APAAS review (i.e November 2018)
- **Promotion** – the date of applying successfully for promotion (the application submission date of May 2018)
- **Appointment** – date of appointment

Salary Review

Salaries are reviewed at the time of the performance review. Those who performance is deemed satisfactory will receive a one-step salary increase (Annex A). The effective date for the increase is 1 February 2020.

Those who are at the top of the salary scale will not be eligible for a salary review increase.

Timeline

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>Late October 2019</td>
<td>Academic Performance Appraisal commences</td>
</tr>
<tr>
<td></td>
<td>All eligible staff receive information on the APA process from HR</td>
</tr>
<tr>
<td></td>
<td>HOD and Deans granted access to Progress</td>
</tr>
<tr>
<td>November 2019</td>
<td>Roles which have two reviewers are submitted to the Second Reviewer for a decision. (Annex C)</td>
</tr>
<tr>
<td>23 December 2019</td>
<td>Reviews completed and signed off</td>
</tr>
<tr>
<td>January 2020</td>
<td>HR will advise eligible staff of the outcome of the review</td>
</tr>
<tr>
<td>1 February 2020</td>
<td>Effective date for any approved salary progressions.</td>
</tr>
</tbody>
</table>
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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 four text fields (Teaching, Research, Service, Key Objectives and Academic Goals, and 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:
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- 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.

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.
Annex A

Positions eligible for one step salary increase with effect 1 February 2020

On 1 February 2020, the Human Resources Division implements a one-step salary increment for eligible academic staff if they were appointed on or before 1 September 2019 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;
- 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;
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Annex B

The Review Process also applies to:

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 applied for promotion

- Employees who have applied for promotion are still required to participate in an annual review. If the promotion application is declined, the salary will be assessed as part of this salary review.

Staff on Research / Study Leave

- Employees are required to still participate in the review whilst they are on Research or Study Leave

Roles which do not have a salary review

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

Staff who will be retiring

- Where an employee employment is continuing into the 2019/20 academic year they are to participate in a salary review.

Promotion applicants

- Staff members who have applied for promotion in May 2019 may attach their entire promotion application instead of the documentation requested above. They are required to make comments in the key objectives and goals field of the applicant statement for the next review period.

Staff with an FTE less than 0.1

- May complete a review if required

The Review Process Does Not Apply to:

Confirmation Path Staff

Confirmation path Lecturers are not required to participate in the review unless their HOD requires it to be completed. HR will upload the most recent approved confirmation path report to the staff.
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member’s review submission. If the HOD requires the confirmation path staff member to complete the review, please get in touch with HR to make the review available to the staff member.
### Annual Performance Appraisal of Academic Staff Guidelines

**ANNEX C – Reviewers**

#### One Reviewer

<table>
<thead>
<tr>
<th>Division</th>
<th>School</th>
<th>Positions</th>
<th>First Reviewer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health Sciences</td>
<td>DSM</td>
<td>Postdoctoral Fellows (PDF)</td>
<td>HOD/Supervisor/Principal Investigator</td>
</tr>
<tr>
<td></td>
<td>Dentistry</td>
<td>Research Fellows (RF)</td>
<td></td>
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<tr>
<td></td>
<td>UOW</td>
<td>Senior Teaching Fellows (STF)</td>
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<td>ARFs</td>
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<td>PPFs</td>
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<td></td>
<td></td>
<td>Scientific Officers (SO)</td>
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<td></td>
<td></td>
<td>Teaching Fellows (TF)</td>
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</tr>
<tr>
<td>Academic Division</td>
<td></td>
<td>All eligible positions</td>
<td></td>
</tr>
<tr>
<td>Research Division</td>
<td></td>
<td>All eligible positions</td>
<td></td>
</tr>
</tbody>
</table>

#### Two Reviewer

<table>
<thead>
<tr>
<th>Division</th>
<th>Positions</th>
<th>First Reviewer</th>
<th>Second Reviewer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commerce</td>
<td>All eligible positions</td>
<td>HOD/Supervisor/Principal Investigator</td>
<td>Pro-Vice-Chancellor</td>
</tr>
<tr>
<td>Humanities</td>
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<tr>
<td>Sciences</td>
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</tr>
<tr>
<td>Health Sciences</td>
<td>BMS</td>
<td>All eligible positions</td>
<td>HOD/Dean (only if the Supervisor/Principal Investigator is the HOD)</td>
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<tr>
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<tr>
<td></td>
<td>DSM</td>
<td>Lecturers</td>
<td>HOD/Supervisor/Principal Investigator</td>
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<td></td>
<td>Dentistry</td>
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<td>Dean</td>
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<td>UOW</td>
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<td></td>
<td>UOC</td>
<td>All eligible positions</td>
<td>Supervisor/Principal Investigator</td>
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<td>HOD</td>
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<tr>
<td></td>
<td>Pharmacy</td>
<td>All eligible positions</td>
<td>Dean/Supervisor/Principal Investigator</td>
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<tr>
<td></td>
<td>Physiotherapy</td>
<td></td>
<td>Pro-Vice-Chancellor</td>
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</tbody>
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