Human Resources Division – Te Wāhanga Matua Pūmanawa Tangata

Biennial Review Guidelines 2022: Ahorangi Tuarua / Associate Professors

Guidelines for the 2022 assessment of the performance of Associate Professors, Clinical Associate Professors and Research Associate Professors

Contents

1. Overview

This document outlines the procedure and guidelines for assessing the performance and reviewing the salary of Associate Professors, Clinical Associate Professors and Research Associate Professors.

In this document the single term 'Associate Professors' refers to Associate Professors, Clinical Associate Professors and Research Associate Professors.

Each Associate Professor will submit a review statement online, which will be reviewed by at least three reviewers: the Head of Department/Head of School, the Dean (if in Health Sciences), the Pro-Vice-Chancellor, and the Vice-Chancellor.

The assessment of performance will be accompanied by a decision on salary step progression, for those not already at the top of the salary range.

2. Eligibility

Associate Professors appointed on or before 1 February 2022 are required to participate in the review.

- **Staff members at the top of the salary scale** are required to participate in a performance review even though there can be no salary review associated with it.

- **Staff members on Research and Study Leave** are required to participate in the review.
- **Confirmation Path staff** 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 reviewed if their employment is continuing into the 2023 academic year.

3. Review Period

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

- **Last review:** the date documents were submitted for the last biennial review of Associate Professors (i.e. September/October 2020)
- **Promotion:** the date of applying successfully for promotion to Associate Professor (the application submission date of either June 2020 or May 2021)
- **Appointment:** date of appointment as Associate Professor (if appointed between 2 February 2020 and 1 February 2022).

4. What you are required to submit for your review

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

Your review statement contains:

a. summary of leadership and significant achievements in teaching during the review period

b. summary of leadership in research and research accomplishments during the review period

c. summary of service activities and leadership in service during the review period

d. comment on key objectives for the next review period.

You need to attach evidence for your review statement:

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. All standard evaluations of teaching for the review period.

Notes on the documentation required:

- **Confirmation Path staff** are required to submit the current or 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.

- **Promotion applicants:** staff members who have applied for promotion in July 2022 may attach the promotion application documents instead of the documentation requested above. If you applied for promotion you are still required to make comments on (d.) key objectives and goals.

5. Guidance for preparing your review

General guidance

- 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 should consider how your work has aligned with the University's strategy and objectives, particularly:

  - Māori Strategic Framework – in your review statement, you should address your contribution to the implementation of Māori Strategic Framework goals in your department, school or division.

  - Academic Leadership Framework – it is recommended that you review the Academic Leadership Framework for assistance with describing indicators of leadership.

- Research and Study Leave – in your review statement or as an attachment, 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.

Teaching documents

- 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.

6. Process

1. Promotions and Remuneration, Human Resources, emails all eligible staff and Reviewers about the biennial performance and salary review.
2. Each Head of Department (or Head of School, in Humanities) will determine the timeframe within which Associate Professors need to submit their documentation.
3. Associate Professors prepare a review statement in <u>Progress</u>.

How to use Progress

Progress is the online portal for all academic reviews. A list of frequently asked questions is available online: <u>Progress FAQ</u>.

The review statement is entered in text fields in Progress. The online system allows a total of 15,000 characters across four text fields (*Teaching*, *Research*, *Service*, and *Key Objectives*). This is approximately three 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.

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4. The First Reviewer (Head of Department or Head of School) meets with each Associate Professor to discuss performance and career development.
5. First 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. where performance is satisfactory, make a recommendation for a single-step salary progression (if applicable). Note that any additional progression step is an exceptional case which may be recommended by the Pro-Vice-Chancellor where an Associate Professor is performing well above the expectations for their point on the scale.
6. The reviews are submitted to the Dean (in Health Sciences) and then the Pro-Vice-Chancellor, who will make recommendations to the Vice-Chancellor and additional comment, if required.
7. The completed review documentation is submitted to Promotions and Remuneration, Human Resources, who will prepare a report for the Vice-Chancellor's consideration.
8. The Vice-Chancellor considers the documentation and makes assessments of performance and salary.
9. Human Resources informs Associate Professors of the review outcomes.

7. Timetable

5 October 2022	Review opens. Human Resources Division e-mails out guidelines to Associate Professors, Clinical Associate Professors and Research Associate Professors. Academic Heads are given access in Progress to the lists of Associate Professors eligible for the biennial performance and salary review. Associate Professors begin to prepare and submit review documentation.
October/November – to HoDs	Each Head of Department will determine their own due date for submissions, and will arrange individual review meetings.
14 November – to Deans (Health Sciences)	In Health Sciences only, Heads of Department forward review comments to Deans by this date.
28 November – to PVCs	In Health Sciences, Deans forward review comments to Pro-Vice-Chancellors by this date. In other Divisions, Heads of Department forward review comments to Pro-Vice-Chancellors by this date.
17 December – to HR	Pro-Vice-Chancellors submit recommendations to Human Resources by this date.
January / February 2023	Human Resources Division provides analysis of the reviews to the Vice-Chancellor. The reviews and analysis are released to the Vice-Chancellor in January. The Vice-Chancellor considers the reviews, and makes decisions in consultation with the Pro-Vice-Chancellor. This is a comprehensive process which takes time to complete. It is likely that review outcomes will be communicated to staff and reviewers by Human Resources in late February. Any salary progressions are backdated to 1 February.
1 February 2023	Effective date for salary progressions.

8. Reviewers

Division		First Reviewer	Second Reviewer	Third Reviewer	Fourth Reviewer
Commerce		HoD	PVC	VC	
Sciences		Dean or HoD	PVC	VC	
Humanities		Dean or HoS	PVC	VC	
Health Sciences	BMS DSM Dentistry UOW UOC	HoD	Dean	PVC	VC
	Pharmacy Physiotherapy	Dean	PVC	VC	

Contact for further information:
Stephanie Evans, Human Resources Adviser, Promotions and Remuneration
Phone 03 479 8255, email hr.academicreviews@otago.ac.nz

This document: https://www.otago.ac.nz/humanresources/training/academic-staff/academic-progression/otago695309.pdf