

7. ACADEMIC, TEACHING & COMPARABLE STAFF APPRAISAL

This policy outlines the procedures for the Annual Staff Appraisal, except for General Staff

This policy should be read in conjunction with the duties and responsibilities for each level of appointment. (See p. 3-28 for the position description for academic and teaching staff and the position description for each comparable staff.)

Purpose:

The annual staff appraisal is an exercise to help staff and supervisors:

- appraise outcomes achieved for the past year
- negotiate clear performance expectations and measures for the coming year
- identify and plan for individual development needs.

Immediate supervisors are central to mentoring and developing staff. They should ensure that staff members clearly understand the duties and achievements that are expected.

7.1 Procedures for Academic, Comparable, Research & Teaching Staff Appraisal

- Each staff member will be appraised annually. For academic, comparable, research and teaching staff it will be before the meeting of the Appraisal Committee in January/July according to their date of appointment.
- Staff employed between 1 January and 30 June will be appraised in December.
- Staff employed between 1 July and 31 December will be appraised in June.
- However, since this is an annual appraisal, All staff are required to complete and submit the appraisal form (**Appendices 12-15**) each year by the due date.
- Council Committee will appraise the Vice-Chancellor. The Vice-Chancellor will appraise the Deputy Vice-Chancellors, Director, Governance Policy and Planning and Director, Financial Services and Executive Officer. Professors and associate professors are appraised by the Vice-Chancellor or nominee. The Deputy Vice-Chancellor, Academic and Research will appraise the deans, Director, Centre for Samoan Studies and Director, Academic Quality Unit. The deans will appraise the heads of department/school and all academic, research and teaching staff. Comparable staff will be appraised by their supervisor.
- The Director, Human Resources will inform supervisors and staff members in writing of the date for the appraisal at least one month before the due date and inform them that the forms for academic, teaching and comparable staff are available on-line, should be downloaded and preferably typed. Supervisors will arrange for date, time and place for the appraisal for each staff member.
- If a staff member prefers not to be appraised by her/his supervisor, a written application, with reasons, must be made for another appraiser directly to the Vice-Chancellor for administrative staff or Deputy Vice-chancellor for academic/teaching staff. The Vice-Chancellor's or Deputy Vice-Chancellor's decision will be final.
- Staff will submit their completed forms to the relevant supervisor (vice-chancellor, deputy vice-chancellor/director/manager/dean/head of school) by the date specified.
- The appraisal will be held in private.

- The appraisal process should be a discussion between the supervisor and the staff member to examine/review the duties for the previous twelve months and should help the staff member to meet his/her contractual obligations for the next twelve months. Student evaluation of courses and staff should be included in the appraisal.
- The supervisor should copy any information that may be useful for reporting on research, pedagogical innovations, curriculum development, new processes, community service etc.
- The supervisor shall provide a copy of the comments/conclusions to the staff member. The original completed form, together with a list of the staff and appraisal result only, should be forwarded to the Director, Human Resources who will table the forms and the list at the Appraisal Committee meeting. The Director, Human Resources is responsible for ensuring that the forms are later filed in each staff member's personal file.
- The supervisor for academic staff (degree programmes) and senior lecturer TVET should classify each staff member as one of the following:
 - "Satisfactory" in both teaching and research
 - "Unsatisfactory" in both teaching and research (with reasons)
 - Teaching – "satisfactory; Research – "unsatisfactory" (with reasons)
 - Teaching – "unsatisfactory" (with reasons); Research – "satisfactory."
- The supervisor for teaching staff (Foundation Grade 3 and TVET) should classify each staff member as one of the following:
 - "Satisfactory in all responsibilities"
 - "Unsatisfactory" (with reasons e.g. in teaching, resource management, curriculum development, industry liaison or contribution to university etc.).
- In the case of academic, comparable and teaching staff, when the appraisal is satisfactory, but the staff member disagrees with the conclusions/comments, a written application should be made to the Vice-Chancellor for a review. The Vice-Chancellor will chair a meeting of the parties involved where each present their case. The decision will be presented in writing within three working days to the parties concerned. A copy will be attached to the staff member's appraisal form.
- When the supervisor indicates that the staff member's appraisal is unsatisfactory, she/he must, within five working days of that faculty's/school's/sector's completion of the appraisal, provide a written statement that gives the reasons and/or evidence, provide a copy to the staff member, and at the same time, lodge the document with the Director, Human Resources for the Committee. The statement to the staff member must include advice that the staff member may submit a written response to the supervisor's assessment addressed to the Manager, Personnel for transmission, with the supervisor's assessment, to the Appraisal Committee.
- The staff member will be informed, in writing within three working days, by the secretary of the committee's decision.
- Any agreed training and/or development activities for the next twelve months should, if necessary, be forwarded to the appropriate committee for staff development by the staff member.

- The supervisor must submit the completed appraisal forms to the Director, Human Resources before the meeting of the Academic, Comparable and Teaching Staff Appraisal Committee.

7.1.1 Salary Implications of the Appraisal process:

At the time of the annual staff performance appraisal process:

- a) The supervisor (director, dean) will recommend to the Appraisal Committee a single increment for lecturer grade III or grade IV only, unless she/he deems that the staff member's performance has been unsatisfactory.
- b) Any lecturer grade III or IV who wishes to apply for a double increment must write to the relevant supervisor, stating the reasons and providing any relevant evidence, to justify the double increment and attach the request to the appraisal form.

A double increment will normally be granted only for exceptional performance in one area of their position description e.g. teaching or research or contribution to the University etc. during the previous year.

Any contribution to the University/discipline/community for which external payment has been received cannot be used for an application for a double increment or bonus.

- c) In the case of (a) and (b), the staff member shall be informed, in writing, of the Committee's decision, within three working days, by the secretary to the Committee, a copy put in the staff member's file and Financial Services. The effective date for the increment/bonus will be the anniversary date of the present contract and will be paid in the next pay period after the meeting.

Staff Members on Maximum of Scale

The Committee also considers academic and teaching staff members on the maximum of the lecturer grade III or IV salary scale. Such staff are appraised every year like all other staff and may apply for a merit bonus (equivalent to the last increment on the appropriate scale) and attach the application to the appraisal document.

The criteria for the award of the merit bonus should be the same as that applied to the award of a double increment. (8.1.15 (ii) above). The merit bonus is a lump sum payment and is not added to the annual salary. The secretary will inform the staff member in writing within three working days of the outcome and place a copy on the staff member's file and, if necessary, inform Financial Services. The bonus will be paid in the next pay period after the meeting.

7.2 Composition of the Appraisal Committee will be:

- a) For the Academic, Research and Teaching Staff (including heads of school/department):

- Vice-Chancellor or nominee (Chairperson)
- Deputy Vice-Chancellor
- Deans of Faculties or nominees
- Director: Centre for Samoan Studies (as head of a teaching unit) or nominee

Secretary: Manager, Personnel or nominee

- b) For Comparable Staff and deans:

- Vice-Chancellor
- Deputy Vice-Chancellor

Secretary: Director, Human Resources or Executive Officer in the case where the Director, Human Resources appraisal is considered.

7.3 Functions of the Staff Appraisal Committee

The function of the Committee is to:

- ensure that staff have been appraised and the process followed
- consider staff whose appraisal is unsatisfactory
- decide applications for single and double increment. (lecturer 3 & 4 only)

Where the Committee decides to withhold an increment for lecturer grade III or IV, the secretary should immediately inform the staff member about this decision and the reasons upon which the Committee based its decision. A copy is to be placed in the staff member's file.

The supervisor shall discuss these reasons with the staff member with a view to improving the staff member's performance of duties. Periodic checks on progress may be required during the year.

7.3.1 *Unsatisfactory Appraisal*

All cases of unsatisfactory appraisal must be considered by the Committee.

In its consideration of the case, the Committee may wish to seek additional written submissions from the staff member, the head of department, and/or the dean/head of school, director etc.

The Committee shall only make a decision after due consideration of any mitigating circumstances or ongoing development as provided by the staff member.

The Committee may (a) instruct the supervisor to further discuss the unsatisfactory nature of the appraisal with the staff member with a view to improving the staff member's performance of duties and responsibilities – periodic checks on progress may be required during the year; (b) recommend that the supervisor begin the informal process as stipulated in the Statute on Unsatisfactory Performance.