MEMO

To:	All permanent academic staff in CHED
From:	Alan Cliff, Interim Dean (CHED)
Date:	3 May 2019
Cc:	Vicki Heard, Gay Tyler
Subject:	Performance Reviews and *Ad Hominem* Promotions and Merit Awards for Academic Staff: 2019

Dear Colleagues

We are entering the period of our annual process for reviewing the performance of academic staff and assessing applications for *Ad Hominem* Promotions and Merit Awards[1]. This letter sets out the procedures relating to performance reviews and applications for hominem promotion and merit awards. The CHED promotion and merit guidelines (as approved in 2014), for regular and academic teaching posts, as well as the timeline for the process are included with this letter along with copies of the relevant forms.

Procedures

Performance reviews

The Standard Academic Salary Package (SASP) performance assessment system for Academic staff makes provision for a four-year performance review cycle. The new cycle commenced in January 2019 and will formally come to an end in December 2022. This will require formative performance discussions with academic staff every two years, i.e. year one and year three and formal performance reviews every alternate year, i.e. mid-term (year 2) and at the end of the cycle (year 4).

Performance discussions must be held with each academic staff member by 30 September 2019. Staff intending to apply for *ad hominem* promotion must complete the HR174/HR175 by 3 June 2019. Academic staff are required to complete an HR174 form focusing on the past year's performance. Forms HR174 are to be signed off by the Head of Department (HoD).

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[1] Information on the nature and purposes of the merit awards, as well as procedures and guidelines, are included in the attached '*Guidelines for ad hominem promotion and academic merit awards*' (p.14 of this document).

Ad Hominem promotions and Merit Awards

CHED academic staff who are on permanent conditions of service, and who believe that their performance in their current position is exceptional, are invited to apply for *ad hominem* promotion or merit awards. Heads of departments or units are also entitled to nominate staff for promotion. Applications and nominations for *ad hominem* promotion and merit awards are considered by the CHED Promotion and Remuneration Committee.

The CHED Promotion and Remuneration Committee will include all HODs as approved by the HED Board at the May 2019 meeting. All Faculty Promotion and Remuneration Committees include a DVC and two external deans. In addition, CHED includes two senior members of the academic staff outside CHED, selected to bring in broad-based expertise, since CHED is a cross-faculty structure. Details of the external members of the committee will be circulated in due course.

As has been noted in previous years, all staff are expected to carry out their work to the best of their ability and to meet the goals set for the year. Since staff in regular academic posts are required to carry out research as part of their contracts, the normal expectation will include published research articles and papers and/or other research outputs. For staff registered for higher degrees, 'normal expectation' will also include making progress with or completing their studies as planned. Working to these standards is a cause for congratulation but is not in itself sufficient grounds for *ad hominem* promotion.

Consequently, in considering applications for *Ad Hominem* Promotion and Merit Awards, the CHED Promotion and Remuneration Committee will be looking for evidence of exceptional performance. This may take a variety of forms, and will vary according to individual job requirements. Copies of the CHED '*Guidelines for Ad Hominem Promotion and Academic Merit Awards*' (applicable to regular academic posts) and '*Guidelines for Ad Hominem Promotion and SASP evaluation for staff on academic teaching conditions of service*', which the CHED *Ad Hominem* Promotion and Remuneration Committee will take fully into account in its work, are attached, and are also available on the CHED website.

Applications for *Ad Hominem* Promotion and Merit Awards must necessarily be comprehensive and provide evidence of overall performance that clearly exceeds what is normally expected of the applicant's current academic rank (see the CHED guidelines documents, including the 'Mechanisms for use with CHED rating guidelines information' on p.12 and p.18 of this document).

All applications should comprise the following:

- a completed application form (blank form attached, p. 5);
- forms HR174 and HR175, completed by the applicant and her/his line manager (blank forms attached on p. 19 and p. 22);
- a full curriculum vitae;
- a portfolio of work (see below).

Applications for *Ad Hominem* Promotion and Merit Awards should also include the names and contact (email and/or fax) addresses of three referees (in the case of applications for full Professor, five referees are requested). **Please note**: In order to enable referee reports to be collected in good time, please give the details of your referees to Vicki Heard by 3 June 2019 (only your intention to apply and your referees' names are needed by this date; not a full application).

Please send each of your referees a copy of your CV. It is quite permissible to request referees to focus on aspects of your work that you wish to highlight in your application. Referee reports will be confidential and sent directly to the Dean's office.

Portfolios

Portfolios submitted to the Committee must contain the substance of and the evidence for the applicant's case for promotion.

CHED staff are expected to maintain comprehensive portfolios of their work which can be drawn on for performance reviews as well as promotion or other applications. It is strongly recommended that applicants should be highly selective in the material they include, and should provide the material in an analysed or 'digested' form that highlights the significance of their work in context and will be meaningful to the Committee members, not all of whom will be specialists in the applicant's particular area of work. For example, the portfolio submitted should contain analysed rather than raw student feedback data, though the raw data should of course be available if required. The Committee will be able to obtain assistance from specialist assessors (and from the applicant's Head of Department, as outlined above) as required.

It is recommended that the portfolios submitted to the Committee contain:

- a brief (one-page) self-evaluative statement outlining the overall role and significance of the applicant's work and the grounds for the application;

- a self-ranking and scoring against the CHED *ad hominem* criteria (refer to HR175);

- a full CV;

- a brief narrative account of the significance of the applicant's work, and notable achievements, in the broad categories of work covered in the CHED guidelines documents;

- for applications for promotion on regular conditions of service (and, where applicable, merit award applications), copies of 3-5 pieces of (preferably recent) work that the applicant regards as best representing his/her research and scholarly output;

- selected documentary evidence of the applicant's contributions and achievements in the applicable categories of work, as outlined in the applicant's narrative account.

Please find the following documents attached for further information and guidance:

- Guidelines for *Ad Hominem* promotion and academic Merit Awards

- Guidelines for *Ad Hominem* promotion for academic teachers

- Forms:
  - Application for *Ad Hominem* Promotion or Merit Award
  - HR174 annual review record
  - HR175 Performance assessment

Should you need to discuss any particular staff member's performance please arrange a meeting with my office. Vicki Heard is responsible for the administration of the process, so please direct administrative enquiries to her. If you have other queries about the process, please consult your HoD, unit head or HR Practitioner, Gay Tyler.

Time table for the *Ad Hominem* 2019 cycle - revised

	DEADLINE	ACTION	WHO
1.	Friday 3 May	**Dean's notification/invitation** to be circulated to CHED HoDs and academic staff.	Dean
2.	Friday 17 May	**Applications for *Ad Hominem* promotion or Merit:** Academic staff and their HODs to have **completed interviews (for forms HR174** and **HR175).**	HoDs & academic staff
3.	Monday 27 May	HODs with staff applying for *Ad Hom* promotion to **inform the Dean** by this date.	HoDs
4.	Monday 3 June	HoDs to **submit electronically HR174 and HR175 forms document** (including supporting documentation in the case of Merit/Excellence Award applications) *preferably in a single pdf* **to the Dean's Office** (c/o Vicki Heard): Prospective *Ad Hominem* promotion applicants to **provide the following in electronic format**, *preferably in a single pdf*: (i) **notification of intention to apply** (application form) (ii) **CV** (iii) **referee details** to **Vicki Heard in the Dean's Office,** vicki.heard@uct.ac.za	HoDs Prospective *Ad Hom* applicants
5.	Friday 5 July	**Full *Ad Hom* applications** (in **electronic** format, *preferably in a single pdf*) which includes: (i) **notification of intention to apply** (application form) (ii) **CV** (iii) **portfolio** (in paper format only if not possible to scan) (iv) **referee details** to be **submitted to the Dean's Office** (c/o Vicki Heard, Room 3.10 Huri ǂoaxa (Hoerikwaggo)	*Ad Hom* applicants
6.	Friday 19 July	***Ad Hom* documentation available for review** by Committee members in the **Dean's Office**	Internal *Ad Hom* Committee members & HRP
7.	Monday 29 July	**Internal committee** (i.e. without external Deans) **meets** to discuss applications	Internal *Ad Hom* Committee members & HRP
8.	Wednesday 14 August	**Information** (applications and aide memoire of internal committee) to be **submitted to the DVC and two external Deans**	HRP & Dean – aide memoire
9.	Tuesday 27 August	**Meeting: full committee**	Internal *Ad Hom* Committee members, HRP, DVC, external Deans
10.	To be decided	**Recommendations to Vice-Chancellor / Council**	
11.	To be decided	**Final meeting: Central committee** (Deans, VC, etc.)	
12.	To be decided	**Applicants advised** of outcomes	HoDs
13.	To be decided	**Feedback to unsuccessful applicants**	Dean

Best wishes

A/Prof Alan Cliff

Interim Dean: Centre for Higher Education Development

APPLICATION FORM
***AD HOMINEM* PROMOTION OR MERIT AWARD**

Surname (A/Prof/Dr/Mr/Mrs/Ms): …………………………………….......................................

First Names: ......………………………………………………...

Unit: …………………………………….…………………………...

Years of service at UCT (permanent or temporary): ..………………………….........................

Type of contract:

Academic Teaching

or

Regular Academic Contract

Present rank: …………………………………..……………………………………...............................

Is this rank held as a result of *Ad Hominem* Promotion? | **YES** | | **NO** |

If **YES**, please indicate date of such promotion: ......……………………………............................

If **NO**, please indicate date of appointment to present post: ..…………………….......................

Are you applying for *Ad Hominem* Promotion or Merit Award (please select accordingly)?

Ad Hominem Promotion

Rank to which promotion is sought: ....

or

Academic Merit Award

Signed: ………………………………………………

Date: …………………………………………...

Please return this form, together with the appropriate documentation for the rank for which you are applying, electronically to Ms Vicki Heard at mailto:vicki.heard@uct.ac.za no later than Monday 3 June 2019.

Centre for Higher Education Development
GUIDELINES FOR *AD HOMINEM* PROMOTION AND ACADEMIC MERIT AWARDS

Contributions to TEACHING AND LEARNING

SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
High achievement 8 to 10	Is recognized as an excellent **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Has an excellent record of **supervision** of postgraduate students, where appropriate. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Is recognized nationally as a leading **teaching and learning specialist** in one or more areas listed above. Makes a major contribution to **educational development initiatives** in one or more areas listed above.	Is recognized as an excellent **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Has an excellent record of **supervision** of postgraduate students, where appropriate. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Is recognized institutionally as a leading **teaching and learning specialist** in one or more areas listed above. Makes a significant contribution to **educational development initiatives** in one or more areas listed above.	Is recognized as an excellent **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Has an excellent record of **supervision** of postgraduate students, where appropriate. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Is recognized in the faculty and/or department as a **teaching and learning specialist** in one or more areas listed above. Makes an important contribution to **educational development initiatives** in one or more areas listed above.	Is recognized as an excellent **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Is recognized by colleagues as a **teaching and learning specialist** in one or more areas listed above. Makes a contribution to **educational development initiatives** in one or more areas listed above.

Approved by HED Board via Dean's Circular 01/2011 dated 15 June 2011; revised and approved by HED Board 8 June 2013; Approved by Senate PC02 2014

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SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
Expected performance 5 to 7	Is recognized as a good **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Has a good record of **supervision** of postgraduate students, where appropriate. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Is recognized institutionally as a leading **teaching and learning specialist** in one or more areas listed above. Makes a significant contribution to **educational development initiatives** in one or more areas listed above.	Is recognized as a good **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Has a good record of **supervision** of postgraduate students, where appropriate. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Is recognized in the department and/or faculty as a **teaching and learning specialist** in one or more areas listed above. Makes an important contribution to **educational development initiatives** in one or more areas listed above.	Is recognized as a good **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Has a good record of **supervision** of postgraduate students, where appropriate. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Is recognized by colleagues as a **teaching and learning specialist** in one or more areas listed above. Makes a contribution to **educational development initiatives** in one or more areas listed above.	Is recognized as a good **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Beginning to develop **an area of specialization in teaching and learning** in one or more areas listed above. Makes a contribution to **educational development initiatives**, as required, in areas such as those listed above.
Under-performance 3 to 4	Does not have a consistent reputation as a good **teacher and/or supervisor.** Makes a minimal contribution to educational development initiatives.	Does not have a consistent reputation as a good **teacher and/or supervisor.** Makes a minimal contribution to educational development initiatives.	Does not have a consistent reputation as a good **teacher and/or supervisor.** Makes a minimal contribution to educational development initiatives.	Does not have a consistent reputation as a good **teacher.** Makes a minimal contribution to educational development initiatives.
Unsatisfactory performance 0 to 2	Has a poor reputation as a **teacher and/or supervisor.** Makes no contribution to educational development initiatives.	Has a poor reputation as a **teacher and/or supervisor.** Makes no contribution to educational development initiatives.	Has a poor reputation as a **teacher and/or supervisor.** Makes no contribution to educational development initiatives.	Has a poor reputation as a **teacher**. Makes no contribution to educational development initiatives.

RESEARCH

SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
High achievement 8 to 10	Is recognized internationally as one of the leading researchers/ creative artists in his or her field. Is making regular, major contributions to scholarship of outstanding quality through, for example: • papers in high quality, peer-reviewed journals • research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review • keynote addresses at international research conferences • invitations to present scholarship at high status institutions • regular citations and reviews • leadership of major research / policy / professional group • receiving awards for contributions to knowledge • attracting leading scholars in the field to UCT	Is recognized internationally as a leading researcher/creative artist in his/her field. Is making regular and/or major contributions to scholarship of high quality through, for example: • papers in high quality, peer-reviewed journals • research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review • regularly presenting papers to national and some international research conferences and seminars • regular citation and review • membership of major research / policy / professional group	Is recognized nationally and beginning to be recognized internationally as a leading researcher/creative artist in his/her field. Is making regular and/or substantial contributions to scholarship of high quality through, for example: • papers in high quality, peer-reviewed journals • research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review • regularly presenting papers to national and some international research conferences and seminars • regular citation and review • membership of research / policy / professional group	Is beginning to be recognized nationally as a contributor to research/creative areas in his/her field. Is making regular contributions to scholarship of high quality through, for example: • papers in high quality, peer-reviewed journals • research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review • regularly presenting papers to national and some international research conferences and seminars • satisfactory progress in a major research project (e.g. PhD or monograph)
Expected performance 5 to 7	Is recognized internationally as a leading researcher/creative artist in his/her field. Is making regular and/or major contributions to scholarship of high quality through, for example: • papers in high quality, peer-reviewed journals • research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review • regularly presenting papers to national and some international research conferences and seminars • regular citation and review • membership of major research / policy / professional group	Is recognized nationally and beginning to be recognizing internationally as a leading researcher/creative artist in his/her field. Is making regular and/or substantial contributions to scholarship of high quality through, for example: • papers in high quality, peer-reviewed journals • research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review • regularly presenting papers to national and some international research conferences and seminars • regular citation and review • membership of major research / policy / professional group	Is beginning to be recognized nationally as a contributor to research/creative areas in his/her field. Is making regular contributions to scholarship of high quality through, for example: • papers in high quality, peer-reviewed journals • research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review • regularly presents papers to national and some international research conferences and seminars • satisfactory progress in a major research project (e.g. PhD or monograph)	Is making regular contributions to scholarship of high quality through, for example: • papers in peer-reviewed journals • research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review • regularly presents papers to national research conferences and seminars • satisfactory progress in a major research project (e.g. PhD or monograph)

Under-performance 3 to 4	Has made a <u>minimal</u> contribution to knowledge production over the past 4 years. Attends <u>few</u> research conferences and seminars. Provides little leadership in research/creative work.	Has made a <u>minimal</u> contribution to knowledge production over the past 4 years. Attends <u>few</u> research conferences and seminars. Provides little leadership in research/creative work.	Has produced <u>minimal</u> research/creative work over past 4 years. Attends <u>few</u> research conferences and seminars. Minimal input to any research/creative work group.	Has produced <u>minimal</u> research/creative work over past 4 years. Attends <u>few</u> research conferences and seminars. Minimal input to any research/creative work group.
Unsatisfactory performance 0 to 2	Is <u>not actively involved</u> in research or the production of creative work. Attends few or no research conferences and seminars	Is <u>not actively involved</u> in research or the production of creative work. Attends few or no research conferences and seminars	Is <u>not actively involved</u> in research or the production of creative work. Attends few or no research conferences and seminars	Is <u>not actively involved</u> in research or the production of creative work. Attends few or no research conferences and seminars

LEADERSHIP, MANAGEMENT AND ADMINISTRATION

SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
High achievement 8 to 10	Plays a major **leadership** role in teaching and learning activities at departmental, faculty, university or national level. Makes a major contribution, as required, to **management and administration** at departmental, faculty or institutional level, including the mentoring of staff.	Plays a significant **leadership** role in teaching and learning activities at departmental, faculty or university level. Makes a significant contribution, as required, to **management and administration** at departmental, faculty or institutional level, including the mentoring of staff.	Plays a **leadership** role in teaching and learning activities at departmental, faculty or university level. Makes an important contribution, as required, to **management and administration** at departmental, faculty or institutional level.	Makes some contribution to **leadership** in educational development at departmental, faculty or institutional level. Actively participates in departmental and faculty **administration,** as required; takes responsibility for course convening and administration as required.
Expected performance 5 to 7	Plays a significant **leadership** role in teaching and learning activities at departmental, faculty or university level. Makes a significant contribution, as required, to **management and administration** at departmental, faculty or institutional level, including the mentoring of staff.	Plays a **leadership** role in teaching and learning activities at departmental, faculty or university level. Makes an important contribution, as required, to **management and administration** at departmental, faculty or institutional level.	Makes some contribution to **leadership** in educational development at departmental, faculty or institutional level. Actively participates in departmental and faculty **administration,** as required; takes responsibility for course convening and administration as required.	Makes a constructive contribution to departmental **administration** and takes responsibility for routine course/ programme/ event administration as required.
Under-performance 3 to 4	Plays minimal role in the leadership of teaching and learning activities at departmental or faculty or university level. Ineffective contribution to management at departmental, faculty or institutional level.	Plays minimal role in the leadership of teaching and learning activities at departmental or faculty or university level. Ineffective contribution to management at departmental, faculty or institutional level.	Plays minimal role in departmental and faculty administration. Reluctant to contribute to the general work of the department or faculty.	Plays minimal or poor role in departmental administration. Reluctant to contribute to the general work of the department or faculty.
Unsatisfactory performance 0 to 2	Plays no leadership role in teaching and learning activities at a departmental or faculty or university level. No contribution to management at departmental, faculty or institutional level.	Plays no leadership role in teaching and learning activities at a departmental or faculty or university level. No contribution to management at departmental, faculty or institutional level.	Plays no role in departmental and faculty administration. No contribution to the general work of the department or faculty.	Plays no role in departmental administration. No contribution to the general work of the department or faculty.

SOCIAL RESPONSIVENESS AND PROFESSIONAL ACTIVITIES

SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
High achievement 8 to 10	Is recognized outside the University as a <u>leading</u> figure in his or her field of expertise and for contributions to the wider society. Frequently consulted as a specialist advisor by both local and international external organisations. Has very strong and well-developed professional interactions with constituencies beyond the University, e.g. professional organisations, government agencies or NGOs. Influential in decision making and policy making by community organisations, government, or private sector.	Has a significant national and/or international professional status. Has an excellent reputation regionally and nationally as a leading advisor and expert. Plays a leadership role in workshops and seminars for constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.	Has a national professional status. Has a reputation in the wider community as an advisor and expert in his or her field of work. Plays a leadership role in interactions with constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.	Makes a regular contribution as an advisor or expert in his or her field of work. Interacts regularly with professional organizations, government agencies or NGOs.
Expected performance 5 to 7	Has a significant national and/or international professional status. Has an excellent reputation regionally and nationally as a leading advisor and expert in his or her field of work. Plays a leadership role in professional interactions with constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.	Has a national professional status. Has a reputation in the wider community as an advisor and expert in his or her field of work. Plays a leadership role in professional interactions with constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.	Makes a regular contribution as an advisor or expert in his or her field of work. Interacts regularly with professional organizations, government agencies or NGOs.	Is approached occasionally to contribute as an advisor or expert in his or her field of work. Interacts with professional organizations, government agencies or NGOs.
Under-performance 3 to 4	Minimal interaction in extension work or professional activities.	Minimal interaction with external agencies, usually only as part of a team.	Minimal interaction with external agencies, usually only as part of a team.	Minimal interaction with external agencies, usually only as part of a team.
Unsatisfactory performance 0 to 2	No involvement in extension or professional activities.	No involvement in extension or professional activities.	No involvement in extension or professional activities.	No involvement in extension or professional activities.

Mechanisms (for use with CHED rating guidelines for staff in regular academic posts)

An overall assessment will be generated in one of the two ways described below.

1. by adding - to the scores (1-10) for teaching and for research - the best one of the scores for leadership/administration and social responsiveness, and dividing the total by three. Candidates for promotion will be eligible for consideration if they have:

    a. a sub-minimum score for teaching/learning of 7

    b. a sub-minimum score for research of 6 for associate professor and a 7 for professor.

    c. an average rating is 8.0 or higher (decimal points of 0.5 or more will not be rounded up).

Examples for associate professorship:

Example	Teaching/ Learning	Research	LMA or SR/PA	Total	Average (÷3)
Dr A	9	6	9	24	8
Dr B	8	6	10	24	8
Dr C	7	8	9	24	8

Examples for professorship:

Example	Teaching/ Learning	Research	LMA or SR/PA	Total	Average (÷3)
Dr A	8	7	9	24	8
Dr B	9	7	8	24	8
Dr C	8	8	8	24	8

2. by adding the scores of all four categories together, and dividing the total by four. Candidates for promotion will be eligible for consideration if they have:

    d. a sub-minimum score for teaching of 7

    e. a sub-minimum score for research of 6 for associate professor and a 7 for professor.

    f. an average rating is 7.25 or higher (decimal points of 0.5 or more will not be rounded up).

Essentially, the only candidates who might find it advantageous to go for the four divided by 4 scenario are those who are extensively involved in social responsiveness and professional activities as well as the more customary other three categories.

Approved by HED Board via Dean's Circular 01/2011 dated 15 June 2011; revised and approved by HED Board 8 June 2013; Approved by Senate PC02 2014

For associate professorship:

	Teaching/ Learning	Research	LMA	SR/PA	Total	Average ($\div 4$)
Dr H	8	6	7	8	29	7.25
Dr I	7	8	6	8	29	7.25
Dr J	7	8	5	9	29	7.25

For professorship:

	Teaching/ Learning	Research	LMA	SR/PA	Total	Average ($\div 4$)
Dr H	8	7	6	8	29	7.25
Dr I	7	8	6	8	29	7.25
A/Prof J	7	8	5	9	29	7.25

Centre for Higher Education Development
ACADEMIC MERIT AWARDS

A system of merit awards has been introduced at the ranks of Lecturer, Senior Lecturer and Associate Professor. **The purpose of these awards is to reward meritorious achievement in two or more of the categories in which staff are assessed.** Decisions on merit awards will form part of the brief of faculty promotion and remuneration committees, and will be based on faculty ad hominem promotion criteria. At the rank of professor, the current two-tier system of excellence awards continues. The lower tier would reward excellent performance, while the upper tier would recognise truly outstanding performance.

Further details of the merit awards and excellence payments
1. A proposed guideline for the quantum for merit awards is a rand value derived as a percentage of the standard CoE package (proposed amount for 2011 being between R18k and R26k), to be determined annually. The award will be made for a period of two years, with effect from the year following that in which the assessment is made. Merit awards will be paid as a lump sum annually, and will be non-pensionable. The awards apply at the current rank of the staff member, and fall away on promotion to a higher rank.
2. It is envisaged that a steady state of about 10% of academic staff receive the merit award. In order to facilitate this, a fixed budget (part of the overall budget associated with academic salaries) will be allocated to faculties on a proportional basis and application for merit awards will be competitive.
3. The faculty has the discretion to award different numbers of merit awards at the different academic ranks (i.e. the percentage of academic staff in receipt of merit awards in one rank may be higher or lower than that in another rank) but the allocated faculty budget for merit awards may not be exceeded.
4. In the introduction of excellence payments in 2004 it was envisaged that about 5% of Professorial staff would be eligible for and receive payments for excellence. This number has fluctuated over the years but has not risen above 5%. It is proposed that a steady state of 3-5% be the target. Excellence awards are paid monthly and are pensionable, and would usually be applied for four years.
5. **Faculties are responsible for developing faculty specific criteria for deciding on merit awards (applicable to ranks of Lecturer to Associate Professor) and payments for excellence (applicable to rank of Professor). The criteria are to be based on the faculty ad hominem promotion criteria. Excellent performance must be demonstrated in at least two performance categories, of which one must be either Teaching & Learning or Research.**

Process of nomination and application
In order to assist heads of department in making decisions with potentially far-reaching consequences for remuneration, and to ensure fairness and transparency, there are three routes for the consideration of merit awards:

Route 1: the cycle of performance reviews may result in the head of department nominating a staff member for a merit award. These nominations will be considered by the relevant Faculty Promotion and Remuneration Committee.

Route 2: the staff member makes application for a merit award with or without the support of the head of department. These applications will be considered by the relevant Faculty Promotion and Remuneration Committee.

Route 3: The Faculty Promotion and Remuneration Committee may make recommendations for a merit award in cases where an individual is considered to have demonstrated excellent performance but still falls short of promotion. The rhetoric of a "failed promotion" should be actively countered with the notion of meritorious achievement.

The DVC accountable for academic matters holds final authority for the approval of merit awards and payments for excellence. There is no appeal process, but if there is a breakdown in the process of application and assessment, the case will be addressed on an individual basis.

CHED SPECIFIC GUIDELINES FOR MERIT AWARDS:

To be considered for a merit award, an applicant must demonstrate excellent performance (at the level of 8 or above) in at least one performance category, of which one must be either Teaching & Learning or Research. Applicants for merit awards will be required to follow the same procedure and to compile and submit evidence in the form of a portfolio following the same guidelines as apply to applications for ad hominem promotions.

Centre for Higher Education Development

GUIDELINES FOR AD HOMINEM PROMOTION AND SASP EVALUATION FOR STAFF ON ACADEMIC TEACHING CONDITIONS OF SERVICE

To be read in conjunction with the UCT policy on academic teaching posts, particularly in relation to expected workload

Contributions to TEACHING AND LEARNING

SCORE RANGE	SENIOR LECTURER	LECTURER
High achievement 8 to 10	Is recognized as an <u>excellent</u> **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Has an <u>excellent</u> record of **supervision** of postgraduate students, where appropriate. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Is <u>recognized in the faculty and/or department as a</u> **teaching and learning specialist** in one or more areas listed above. Makes an <u>important</u> contribution to **educational development initiatives** in one or more areas listed above.	Is recognized as an <u>excellent</u> **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Is <u>recognized by colleagues as a</u> **teaching and learning specialist** in one or more areas listed above. Makes a <u>contribution</u> to **educational development initiatives** in one or more areas listed above.
Expected performance 5 to 7	Is recognized as a <u>good</u> **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Has a <u>good</u> record of **supervision** of postgraduate students, where appropriate. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Is <u>recognized by colleagues as a</u> **teaching and learning specialist** in one or more areas listed above. Makes a <u>contribution</u> to **educational development initiatives** in one or more areas listed above.	Is recognized as a <u>good</u> **teacher** who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students. Besides formal teaching and supervision, a range of **educational development responsibilities** will be recognized as contributions: o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. Beginning to develop **an area of specialization in teaching and learning** in one or more areas listed above. Makes a <u>contribution</u> to **educational development initiatives**, <u>as required</u>, in areas such as those listed above.

SCORE RANGE	SENIOR LECTURER	LECTURER
Under-performance 3 to 4	Does <u>not have a consistent reputation</u> as a good **teacher and/or supervisor.** Makes a <u>minimal</u> contribution to educational development initiatives.	Does <u>not have a consistent reputation</u> as a good **teacher.** Makes a <u>minimal</u> contribution to educational development initiatives.
Unsatisfactory performance 0 to 2	Has a <u>poor</u> reputation as a **teacher and/or supervisor.** Makes <u>no</u> contribution to educational development initiatives.	Has a <u>poor</u> reputation as a **teacher**. Makes <u>no</u> contribution to educational development initiatives.

LEADERSHIP, MANAGEMENT AND ADMINISTRATION

SCORE RANGE	SENIOR LECTURER	LECTURER
High achievement 8 to 10	Plays a **leadership** role in teaching and learning activities at departmental, faculty or university level. Makes an <u>important</u> contribution, as required, to **management and administration** at departmental, faculty or institutional level.	Makes some contribution to **leadership** in educational development at departmental, faculty or institutional level. Actively participates in departmental and faculty **administration,** as required; takes responsibility for course convening and administration as required
Expected performance 5 to 7	Makes some contribution to **leadership** in educational development at departmental, faculty or institutional level. Actively participates in departmental and faculty **administration,** as required; takes responsibility for course convening and administration as required.	Makes a constructive contribution to departmental **administration** and takes responsibility for routine course/ programme/ event administration as required.
Under-performance 3 to 4	Plays <u>minimal</u> role in departmental and faculty administration. Reluctant to contribute to the general work of the department or faculty.	Plays <u>minimal</u> or poor role in departmental administration. Reluctant to contribute to the general work of the department or faculty.
Unsatisfactory performance 0 to 2	Plays <u>no</u> role in departmental and faculty administration. <u>No</u> contribution to the general work of the department or faculty.	Plays <u>no</u> role in departmental and faculty administration. <u>No</u> contribution to the general work of the department or faculty.

SOCIAL RESPONSIVENESS AND PROFESSIONAL ACTIVITIES

SCORE RANGE	SENIOR LECTURER	LECTURER
High achievement 8 to 10	Has a national professional status. Has a reputation in the wider community as an advisor and expert in his or her field of work. Plays a leadership role in interactions with constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.	Makes a regular contribution as an advisor or expert in his or her field of work. Interacts regularly with professional organizations, government agencies or NGOs.
Expected performance 5 to 7	Makes a regular contribution as an advisor or expert in his or her field of work. Interacts regularly with professional organizations, government agencies or NGOs.	Is approached occasionally to contribute as an advisor or expert in his or her field of work. Interacts with professional organizations, government agencies or NGOs.
Under-performance 3 to 4	Minimal interaction with external agencies, usually only as part of a team.	Minimal interaction with external agencies, usually only as part of a team.
Unsatisfactory performance 0 to 2	No involvement in extension or professional activities.	No involvement in extension or professional activities.

CHED mechanism to assess eligibility for promotion (see HR175) for staff on academic teaching conditions of service

An overall assessment of eligibility for **consideration** for promotion can be performed in one of two ways:

a) Add the scores of all three categories together, and divide the total by three.

b) Add the scores of the Contributions to Teaching and Learning category and one other and divide by two.

Candidates for promotion will be considered eligible for consideration if their average rating is 8 or higher. Note, however, that **8 is the minimum allowable score for the Contribution to Teaching & Learning category**.

Assessment of eligibility for consideration for a **merit award** will normally be made by mechanism (b).

	Teaching/ Learning	Lead, Man & Admin.	Soc Resp	Total	Average (÷3)
Dr H	10	6	8	24	8
Ms I	9	7	8	24	8
Prof J	8	8	8	24	8
Mr K	9	6	9	24	8
A/Prof L	10	9	5	24	8
Mrs M	9	9	6	24	8
Rev N	9	6	9	24	8

	Teaching/ Learning	Lead, Man & Admin.	Soc Resp	Total	Average (÷2)
Dr H	10	6		16	8
Ms I	9	7		16	8
Prof J	8	8		16	8
A/Prof L	10		6	16	8
Mrs M	9		7	16	8
Rev N	9		8	16	8

Approved by HED Board via Dean's Circular 01/2011 dated 15 June 2011; revised and approved by HED Board 8 June 2013; revised for submission to SEC Feb 2014

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Approved by HED Board via Dean's Circular 01/2011 dated 15 June 2011; revised and approved by HED Board 8 June 2013; revised for submission to SEC Feb 2014

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HR174	**ANNUAL REVIEW RECORD** Academic Staff	UNIVERSITY OF CAPE TOWN IYUNIVESITHI YASEKAPA · UNIVERSITEIT VAN KAAPSTAD

NOTES
- Forms must be downloaded from the UCT website: http://www.uct.ac.za/depts/sapweb/forms/forms.htm
- Details of UCT policy on performance planning, performance reviews and staff development (academic staff) may be found at http://www.hr.uct.ac.za/performance/management/academic_staff/performance_planning/.

Staff Member		Year	
Department		Date	
Purpose	To review current year's workload and performance against departmental norms and minimum academic performance criteria as approved by Senate. Development issues: Recognise strengths and weaknesses, propose courses of action and develop strategies for promotion. Plan next year (in so far as possible).		

WORKLOAD AND PERFORMANCE
Staff member to complete before meeting

TEACHING comment		HOD
Workload (quantity)		
Performance (quality)		
Comment		
RESEARCH		
Directions		
Workload		
Funding		
Publications		
Comment		

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MANAGEMENT, LEADERSHIP AND ADMINISTRATION		HOD
Department		
Faculty		
University		
Comment		
SOCIAL RESPONSIVENESS		
Professional		
Industry		
Other		
Comment		

STRENGTHS, WEAKNESSES, DEVELOPMENT, STRATEGIES FOR PROMOTION

PLANS FOR NEXT YEAR

Teaching		
Research		
Management, Leadership & Administration		
Social Responsive-ness		

Need for Performance Assessment Interview? *(tick)*	Yes	No

SIGNATURES

Staff Member		Date	
HOD		Date	

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COMPLETING AN ANNUAL REVIEW RECORD
HR174

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When do I complete this form?

This form is completed annually by each academic member of staff as part of a process of

- reviewing workload and work performance with his/her Head of Department
- planning for the following year, and
- discussing development issues.

The following areas are covered: (i) teaching, (ii) research, (iii) management, leadership and administration, and (iv) social responsiveness.

Where do I send this form?

This form is sent

- to your Head of Department
- then to the Dean through the Faculty Human Resource Office - and
- finally, to HR Administration at Bremner.

Note

Applications for promotion will go before the Faculty Promotion and Remuneration Committee for consideration.

When do I submit this form?

Usually at mid-year.

Note

The Dean's Office will invite staff members to apply, or be nominated, for ad hominem promotion or remuneration above Rate for Job on grounds of excellence.

What other forms do I need to complete?

The Head of Department will complete a Performance Assessment form (HR175) which provides a recommendation on the performance category within which the staff member falls.

HR175	**PERFORMANCE ASSESSMENT** Academic Staff	**UNIVERSITY OF CAPE TOWN** IYUNIVESITHI YASEKAPA · UNIVERSITEIT VAN KAAPSTAD

NOTES
- Forms must be downloaded from the UCT website: http://www.uct.ac.za/depts/sapweb/forms/forms.htm
- Details of UCT policy on performance planning, performance reviews and staff development (academic staff) may be found at http://www.hr.uct.ac.za/performance/management/academic_staff/performance_planning/
- The faculty's performance evaluation guidelines should be consulted for the evaluation of high achievers.

Staff Member		Year	
Department		Date	
Purpose	To establish performance category		

HOD'S COMMENTS
Complete in the absence of other documentation or, alternatively, attach the Annual Review Record.

Teaching	
Research	
Management, Leadership and Administration	
Social Responsiveness	

PERFORMANCE ASSESSMENT (tick)

Good		Under Performance		Unsatisfactory Performance		
High Achiever		To be considered for	Ad Hominem Promotion			
			Recognition of Excellence (Professors)			
			Merit Award (Lecturer, Senior Lecturer, Associate Professor)			
Are you still on probation? (tick)					Y	N

PERFORMANCE SCORES ACCORDING TO FACULTY GUIDELINES
It is not necessary to complete this section where the HOD and staff member agree on assessment as 'Good'.

Category	Staff Member's Scoring (rating*weighting)	Total	HOD's Scoring (rating*weighting)	Total
Teaching				
Research				
Management, Leadership & Admin				
Social Responsiveness				
	Total		Total	

HOD	Comment			
	Signature		Date	
Staff Member	Comment			
	Signature		Date	

COMPLETING A PERFORMANCE ASSESSMENT FORM
HR175

When do I complete this form?

This form is completed by the Head of Department for each member of his/her academic staff. It provides a recommendation on the performance category into which individuals fall. These categories include

- Good
- Under performance
- Unsatisfactory performance
- High achiever

Note

It is not necessary to have a full formal assessment interview with each staff member every year. An assessment interview must be held, however, when an HOD wishes to recommend someone (i) as a high achiever, or (ii) as an under- or unsatisfactory performer, or (iii) as a good performer but the staff member wishes to apply for recognition as a high achiever. Please seek the advice of the Faculty Human Resource Office or the Employee Relations Office before proceeding with cases or under or unsatisfactory performance.

Where do I send this form?

This form is sent

- to the Dean through the Faculty Human Resource Office
- then to the Faculty Promotion and Remuneration Committee if a case for high achiever status is made by either the staff member or the HOD
- then to the Vice-Chancellor if ad hominem promotion is supported by the Faculty Promotion and Remuneration Committee – and
- finally, to HR Administration at Bremner.

When do I submit this form?

Usually at mid-year or early in the second half of the year.

What other forms do I need to complete?

The completion of this form is normally preceded by the completion of the Annual Review Record (HR174) by individual academics. Staff that wish to be recognized for excellence should follow the guidelines provided by the Faculty which are obtainable from the Faculty Human Resource Office.