MEMO

To:	All permanent academic staff in CHED
From:	Associate Professor Kasturi Behari-Leak, Dean (CHED)
Date:	Friday, 20 May 2022
Cc:	Vicki Heard, Mzi Mnyatheli & Rayaanah Savahl
Subject:	Performance reviews, ad hominem promotion and excellence/merit awards for academic staff for 2022

Dear Colleagues

We are entering the period of our annual process for 2022 – for reviewing the performance of academic staff and assessing applications for ad hominem promotions and academic excellence 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 excellence/merit guidelines (as approved in 2014), for regular and academic teaching posts, as well as the timeline for the process (p. 6), are included with this letter. (The HR174 & HR175 forms will accompany this letter as separate MS Word files and they can be downloaded from the HR website.)

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. A cycle requires 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). This year is year 4 of the current cycle.

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[1]Information on the nature and purposes of the academic excellence and merit awards, as well as procedures and guidelines, are included in the attached '*Guidelines for ad hominem promotion and academic excellence and merit awards*' (p.9) of this document).

Performance discussions must be held with each academic staff member intending to apply for ad hominem promotion or excellence/merit award, as well as with those staff members where performance issues have been identified and/or where support is required to ensure that the staff member is able to improve upon the areas of concern that have been identified.

Staff intending to apply for ad hominem promotion, excellence and merit award must hold a meeting with the HOD and should complete the HR174 and HR175 forms by Tuesday, 7 June 2022. This is to ensure that the HoD is in a position to inform the Dean of the number of potential applications within their respective area.

All other academic staff (those not applying for ad hominem promotion or an award) are required to complete the HR174 form focusing on the past year's performance and since its year 4 of the cycle these forms must be submitted to hrformschedhrpb@uct.ac.za; HR175 forms are to be completed and signed off by Heads of Departments (HoDs) where applicable.

The deadline for the completion of performance discussions is Wednesday, 31 August 2022.

Ad hominem promotion and academic excellence 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 excellence/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 Board for Higher Education Development (CHED Board) at the May 2019 meeting. All Faculty Promotion and Remuneration Committees include a DVC and two external deans. In addition, CHED includes two to three senior members of the academic staff outside CHED, selected to bring in broad-based expertise, since CHED is a cross-faculty structure.

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. The CHED '*Guidelines for Ad hominem Promotion and Academic Excellence & Merit Awards*' (applicable to regular academic posts) (p. 9) and '*Guidelines for Ad hominem Promotion and SASP evaluation for staff on academic teaching conditions of service*' (p. 18), which the CHED Ad hominem Promotion and Remuneration Committee will take fully into account in its work, are attached.

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.15 and p.21 of this document).

All (full) applications are to comprise the following:

i.   a completed application form (blank form attached, p.7).

ii.   forms HR174 and HR175, completed by the applicant and her/his line manager (these forms are attached – p22 and p25) and will also separately accompany this letter in MS Word format and may also be downloaded);

iii.   a full curriculum vitae.

iv.   a portfolio of work (see below).

Please submit as follows:

- (i) to (iii) to be submitted electronically in a single PDF document where possible, using the naming convention:

>   2022_CHED_ADHOM_SURNAME_APPLICATION

>   2022_CHED_EXCELLENCE/MERIT_SURNAME_APPLICATION

- (iv) to be submitted electronically in a single PDF document, where possible, using the naming convention:

>   2022_CHED_ADHOM_SURNAME_PORTFOLIO

>   2022_CHED_EXCELLENCE/MERIT_SURNAME_PORTFOLIO

Where it is not possible to submit the portfolio in a single PDF file, a contents page (including page numbering) must accompany clearly named/identifiable files.

> **To submit, please email your full application and portfolio files directly to:**
> **chedadhom&merit-2022@vula.uct.ac.za**
> **Deadline: Friday, 8 July 2022**

Applications for ad hominem promotion and excellence/merit awards should also include the names and email addresses of three (3) referees. In the case of ad hominem promotion applications for full Professor, five (5) referees are requested. **Importantly,** in order to enable referee reports to be collected in good time, please email the details of your referees together with your completed application form directly to **chedadhom&merit-2022@vula.uct.ac.za by Friday, 17 June 2022** (only your intention to apply (application form), referees' names and contact details, and completed HR174 and HR175 forms are needed by this date; not your full application).

The full portfolio and supporting documents are required by Friday, 8 July 2022.

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 HR Business Partner.

Guideline for choosing referees:

- Full Professor level – Strong international standing.

- Associate Professor – International standing or emerging international standing.
- Senior Lecturer – National standing.
- Lecturer – National standing.

At the Associate Professor and Professor level, the referees should ideally have sound international standing.

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.
- Ensure that the portfolio is not too long and encompasses the core requirements as outlined above, ideally should not be longer than 50 pages.
- Include a contents page in the portfolio.
- Include a publications table and embed links (accessible links) into the portfolio especially when referencing journals/publications.
- Include information on collaborative work.
- Indicate the level/rank that you are applying to.
- Include whether you have a PhD, are studying towards one or intends on embarking on such studies in future.

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

- Guidelines for ad hominem promotion (p.9) and academic merit awards (p.17)
- Guidelines for Ad hominem promotion for academic teachers (p.18)
- Application form for ad hominem promotion or merit award (p.7)

Should you need to discuss any particular staff member's performance please arrange a meeting with my office. Mzi Mnyatheli is responsible for the administration of the process, so

please direct administrative enquiries to him (mzi.myatheli@uct.ac.za). If you have other queries about the process, please consult your HoD, unit head or HR Business Partner, Rayaanah Savahl (rayaanah.savahl@uct.ac.za).

The UCT HR website provides comprehensive information about *Performance planning, performance reviews and staff development (academic staff)* and the process for ad hominem promotion.

The HR174 & HR175 forms may be downloaded from the UCT administrative forms site.

Separate attachments accompanying this letter:

1. Application form (MS Word)
2. HR174 form (MS Word)
3. HR175 form (MS Word)

	DEADLINE	ACTION	WHO
		TIMETABLE FOR THE AD HOMINEM PROMOTION, EXCELLENCE & MERIT AWARDS 2022 CYCLE	
1.	Friday, 20 May 2022	**Dean's notification/invitation** to be circulated to CHED HoDs and academic staff. To include the Dean's invitation to apply letter and 3 separate files: application form, HR174 & HR175 each in MS Word format.	Dean
2.	Tuesday, 07 June 2022	**Applications for ad hominem promotion or excellence/merit:** Academic staff and their HODs to have **completed interviews (for forms HR174 and HR175 download here).**	HoDs & academic staff
3.	Friday, 10 June 2022	HODs with staff applying for ad hom promotion to **inform the Dean** by this date.	HoDs
4.	Friday, 17 June 2022	HoDs to **email** all completed and signed **HR174 and HR175 forms** (including supporting documentation in the case of merit/excellence award applications) **to chedadhom&merit-2022@vula.uct.ac.za** Prospective **ad hominem promotion applicants** to **provide their:** (i) **notification of intention to apply** (application form) (ii) **CV** (iii) **referee details** to **chedadhom&merit-2022@vula.uct.ac.za**	HoDs Prospective ad hom applicants
5.	Friday, 8 July 2022	**Full ad hom applications** (electronically) which include: (i) **notification of intention to apply** (application form) (ii) **CV** (iii) **referee details** (iv) **portfolio** to be **submitted** via email **to** the Vula site directly**:** **chedadhom&merit-2022@vula.uct.ac.za**	Ad hom applicants
6.	Friday, 15 July 2022	Ad hom documentation available for review by Committee members via confidential Vula website	Internal Ad Hom Committee members & HRBP
7.	Monday, 8 August 2022	Internal committee (i.e. without external Deans) meets online to discuss applications	Internal Ad Hom Committee members & HRBP
8.	Monday, 15 August 2022	Information (applications and aide memoire of internal committee) to be submitted electronically to the DVC and two external Deans	HRBP & Dean – aide memoire
9.	Wednesday, 31 August 2022	Meeting online: full committee including the two DVC and external Deans.	Internal ad hom Committee members, HRBP, DVC, external Deans
10.	To be decided	Recommendations to Vice-Chancellor / Council	Dean, HRBP
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

Associate Professor Kasturi Behari-Leak
Dean of Higher Education Development (CHED)

UNIVERSITY OF CAPE TOWN

CENTRE FOR HIGHER EDUCATION DEVELOPMENT (CHED)

APPLICATION FOR AD HOMINEM PROMOTION, EXCELLENCE AND MERIT AWARD – 2022

Information required	
Title: Prof/Dr/Mr/Mrs/Ms/Miss/Mx	
Surname	
First Names	
Department	
Years of service at UCT (Permanent or temporary)	
Present rank/level	
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	

Ad hominem promotion - Rank which you are applying to:	Application for Ad hominemen Promotion to:	Tick the appropriate option:
	Senior Lecturer	
	Associate Professor	
	Professor	

Excellence or Merit Awards	Application for Excellence or Merit Award:	Tick the appropriate option:
	Merit Award (Lecturer to Associate Professor level)	
	Excellence 1 (Professor level)	
	Exceelence 2 (Professor level)	

Date: _____   Signed: _____

Please return this form, together with the appropriate documentation listed below to Rayaanah Savahl by latest Friday,17 June 2022.

Prospective applicants to **provide:**

(i)   **Notification of intention to apply.**

(ii)   **Referee details** (not required for Excellence or Merit Awards) to **Rayaanah Savahl** on email to be sent to **chedadhom&merit-2022@vula.uct.ac.za.**

Note that you cannot apply for both Adhom promotion and Excellence/Merit Award.

CENTRE FOR HIGHER EDUCATION DEVELOPMENT				
GUIDELINES FOR AD HOMINEM PROMOTION AND ACADEMIC EXCELLENCE AND MERIT AWARDS				
CONTRIBUTIONS TO TEACHING AND LEARNING				
SCORE RANGE	**PROFESSOR**	**ASSOCIATE PROFESSOR**	**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 recognized <u>nationally</u> as a leading **teaching and learning specialist** in one or more areas listed above.
	
	Makes a <u>major</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.
		
		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 recognized <u>institutionally</u> as a leading **teaching and learning specialist** in one or more areas listed above.
		
		Makes a <u>significant</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.
			
			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</u> as a **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</u> as a **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.

SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER

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 recognized <u>institutionally</u> as a <u>leading</u> **teaching and learning specialist** in one or more areas listed above.
	
	Makes a <u>significant</u> contribution 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.
		
		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 in the department and/or faculty</u> as a **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 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</u> as a **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.

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 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 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 and/or supervisor.** Makes <u>no</u> contribution to educational development initiatives.	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.

	GUIDELINES FOR AD HOMINEM PROMOTION AND ACADEMIC EXCELLENCE AND MERIT AWARDS			
	RESEARCH			
SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
High achievement 8 to 10	Is recognized internationally as <u>one of the leading researchers/ creative artists</u> in his or her field. Is making <u>regular, major contributions</u> 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 <u>internationally</u> as a leading researcher/creative artist in his/her field. Is making <u>regular and/or major</u> 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 <u>nationally</u> and <u>beginning to be recognized internationally</u> as a leading researcher/creative artist in his/her field. Is making <u>regular and/or substantial</u> 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 <u>nationally</u> as a contributor to research/creative areas in his/her field. Is making <u>regular</u> 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 <u>internationally</u> as a leading researcher/creative artist in his/her field. Is making <u>regular and/or major</u> 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 <u>nationally</u> and <u>beginning to be recognizing internationally</u> as a leading researcher/creative artist in his/her field. Is making <u>regular and/or substantial</u> 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	Is beginning to be recognized <u>nationally</u> as a contributor to research/creative areas in his/her field. Is making <u>regular</u> 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 <u>regular</u> 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)

	GUIDELINES FOR AD HOMINEM PROMOTION AND ACADEMIC EXCELLENCE AND MERIT AWARDS			
	RESEARCH			
SCORE RANGE	**PROFESSOR**	**ASSOCIATE PROFESSOR**	**SENIOR LECTURER**	**LECTURER**
		• membership of major research / policy / professional group		
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

GUIDELINES FOR AD HOMINEM PROMOTION AND ACADEMIC EXCELLENCE AND MERIT AWARDS

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.

	GUIDELINES FOR AD HOMINEM PROMOTION AND ACADEMIC EXCELLENCE AND MERIT AWARDS			
	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 leading 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)
Applicant A	9	6	9	24	8
Applicant B	8	6	10	24	8
Applicant C	7	8	9	24	8

Examples for professorship:

Example	Teaching/ Learning	Research	LMA or SR/PA	Total	Average (÷3)
Applicant A	8	7	9	24	8
Applicant B	9	7	8	24	8
Applicant 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 scenarios are those who are extensively involved in social responsiveness and professional activities as well as the more customary other three categories.

For associate professorship:

	Teaching/ Learning	Research	LMA	SR/PA	Total	Average (÷4)
Applicant A	8	6	7	8	29	7.25
Applicant B	7	8	6	8	29	7.25
Applicant C	7	8	5	9	29	7.25

For professorship:

	Teaching/ Learning	Research	LMA	SR/PA	Total	Average (÷4)
Applicant A	8	7	6	8	29	7.25
Applicant B	7	8	6	8	29	7.25
Applicant C	7	8	5	9	29	7.25

CENTRE FOR HIGHER EDUCATION DEVELOPMENT
ACADEMIC MERIT AND EXCELLENCE 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 one 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 SASP package, 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, senior lecturer or associate professor) and payments for excellence (applicable to rank of professor). The criteria are to be based on the faculty ad hominem promotion criteria. To be considered for an excellence award (professors), excellent performance must be demonstrated in at least two performance categories, of which one must be either Teaching & Learning or Research. To be considered for a merit award, lecturers, senior lecturers and associate professors must demonstrate outstanding performance in at least one performance category. If only one category, this 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 an 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 excellence awards and 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 EXCELLENCE AND MERIT AWARDS:

Aligned with 5. Above, CHED's specific guidelines are:
  * **Excellence awards (professors): To be considered for an excellence award, an applicant must demonstrate excellent performance (at the level of 8 or above) in at least two performance categories of which one must be either Teaching & Learning or Research.**
  * **Merit awards (lecturer, senior lecturer or associate professor): To be considered for a merit award, an applicant must demonstrate outstanding performance (at the level of 8 or above) in at least one performance category: either Teaching & Learning or Research.**

Applicants for excellence and 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 and timelines as apply to applications for ad hominem promotions.

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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:
	  ○ Student development activities, staff development activities, tutor training, curriculum development and restructuring, 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:
		  ○ Student development activities, staff development activities, tutor training, curriculum development and restructuring, 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:
	  ○ Student development activities, staff development activities, tutor training, curriculum development and restructuring, 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.
		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:
		  ○ Student development activities, staff development activities, tutor training, curriculum development and restructuring, 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.

	SENIOR LECTURER	LECTURER
■	Makes a contribution to **educational development initiatives** 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.** 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**. Makes no 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 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	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 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 role in departmental and faculty administration. No contribution to the general work of the department or faculty.	Plays no role in departmental and faculty administration. No contribution to the general work of the department or faculty.

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

SCORE RANGE	SENIOR LECTURER	LECTURER
SOCIAL RESPONSIVENESS AND PROFESSIONAL ACTIVITIES		
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)
Applicant A	10	6	8	24	8
Applicant 2	9	7	8	24	8
Applicant 3	8	8	8	24	8

	Teaching/ Learning	Lead, Man & Admin.	Soc Resp	Total	Average (÷2)
Applicant 1	10	6		16	8
Applicant 2	8		8	16	8
Applicant 3	9		7	16	8

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

MANAGEMENT, LEADERSHIP AND ADMINISTRATION		HOD Comment
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	

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	

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.