

RHODES UNIVERSITY

PROCEDURES AND CRITERIA GOVERNING PERSONAL PROMOTION FOR ACADEMIC AND RESEARCH STAFF

The University, on the recommendation of the Academic Planning & Staffing Committee and Senate, has approved the following procedures and criteria relating to the personal promotion of members of the Academic and Research staff:

AWARENESS OF POLICY & PROCEDURES

Academic and Research staff are made aware of the procedures for personal promotion in the following ways:

- (a) during New Lecturers' Orientation;
- (b) in the *Comprehensive Staff Guide*;
- (c) on the Human Resources Division website;
- (d) by obtaining documentation from the Human Resources Division.

It is important to note that the process for personal promotion of academic and research staff operates within specific time frames and that applications are not accepted outside of these time frames

ASSISTANCE PROVIDED TO ACADEMIC & RESEARCH STAFF WISHING TO APPLY FOR PERSONAL PROMOTION

- (a) Heads of Departments/Institutes/Units (hereinafter referred to as Departments) should encourage eligible staff to make application; provide guidance to staff on the requirements of an application; and, where feasible, plan with individual staff members how to meet the requirements.

New Heads of Departments will be briefed on these responsibilities and the process during their induction.

- (b) Individual members of staff may approach the relevant Dean of Faculty for advice on their application, e.g. their likelihood of success if they do apply, advice on the compilation of curriculum vitae, etc. Heads of Department are required to make staff aware that such assistance is available.
- (c) Prospective candidates for personal promotion, who are building teaching portfolios, may approach the staff of the Academic Development Centre early each year and be provided with feedback on their portfolios as they are being built.

CALLING FOR APPLICATIONS

- (a) At the beginning of May of every year, Heads of Departments will be advised on top list and

- by internal circular that the process has commenced and that they should bring this to the attention of their academic and research staff.
- (b) At the same time, academic and research staff are advised on top list, in *Rhodos* and by a circular sent to the Departmental secretary for display in the Department that the process has commenced, that applications may be submitted, and that all information is obtainable from the Head of Department or on the Human Resources Division website or from the Human Resources Division.
 - (c) The closing date for the submission of teaching portfolios to the Academic Development Centre is 30 June each year.
 - (d) The closing date for applications for personal promotion is the first Monday of August.

PROCEDURES

1. Applications for personal promotion will not normally be considered before an appointment has been confirmed.
2. The University will not normally promote a member of staff by more than one rank at a time, e.g. Junior Lecturer to Lecturer, Research Officer to Senior Research Officer.
3. Prior to the call for applications for personal promotion, the Deans shall peruse a list of all permanent full-time eligible staff in order to identify those whom they believe might be considered for promotion.

Thereafter, the relevant Dean shall suggest to the relevant Head of Department that the identified member of staff be encouraged to apply for personal promotion.

In so doing, it is essential not to create any impression that the promotion will automatically follow.

4. A member of the academic or research staff who applies for personal promotion will be required to submit a formal application on the appropriate form.

The names and full addresses (including telephone numbers, e-mail addresses or fax numbers) of two or three referees, other than the Head of Department, must be furnished.

In the case of an application for promotion to Associate Professor or Professor, at least one referee should be from outside the University. Referees should be in a position to comment on the *professional* abilities of the applicant.

It is the responsibility of the applicant to furnish referees with an up-to-date curriculum vitae if required.

An up-to-date curriculum vitae must accompany the application, which should indicate the change in the applicant's standing, within the University, nationally and internationally, since date of appointment or previous personal promotion.

The curriculum vitae should include a publications list set out under the following headings:

- (a) books;
- (b) research publications in refereed journals;
- (c) other academic or education publications;
- (d) conference presentations;

- (e) creative work (e.g. creative writing, productions, exhibitions, recitals); and
- (f) any other material which the applicant believes to be relevant (e.g. community service and peer and student teaching evaluations).

In the case of academic staff, this may be accompanied by any or all items in an assessed teaching portfolio, together with the assessors' comments and any reply which the candidate wishes to make.

Curriculum vitae should indicate professional involvement and standing in the profession.

Copies of publications and reviews may be required by the Academic Promotions Committee.

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The Director of Human Resources will obtain from the staff member's Head of Department a confidential report under the following headings:

- (a) teaching;
- (b) research/creative activities;
- (c) professional involvement and standing in the profession;
- (d) relations with staff and students;
- (e) general comment and recommendation.

6.

Procedure to be followed by the Academic Promotions Committee and the Promotions Appeals Committee:

6.1

The Director of Human Resources will place all applications for personal promotion, together with the relevant reports from the Heads of Departments and referees, before the Academic Promotions Committee at a meeting specifically convened for this purpose.

6.2

In considering applications for personal promotion, the Academic Promotions Committee shall have the right to consult the Head of Department concerned or any other staff member, or may seek the advice of an external adviser(s) competent in the applicants' field of study.

In addition, the Academic Promotions Committee may require copies of publications and reviews.

6.3

A member of the Academic Promotions Committee may act as a referee for any member of the staff whose application is being considered. However, a member of the Committee who has either consented to act as a referee for a candidate under consideration or is a member of the candidate's department may not participate in any debate but shall be permitted to answer any questions put to him/her by other members of the Committee. He/she shall not be permitted to cast a vote and shall recuse himself/herself should a vote be taken.

6.4

6.4.1 The Academic Promotions Committee will first categorise the applications into those which the Committee could support and those which, on the face of the information before it, the Committee feels ought not be supported.

6.4.2 The opinion of an external adviser will be sought when considering applications for promotion from the rank of Senior Lecturer to Associate Professor and from Associate Professor to Professor. Such external adviser shall be an academic. On receipt of relevant applications, the Human Resources Division will advise the appropriate Dean and request that he/she consults with the Head of Department regarding a suitable external adviser and then liaises directly with the prospective adviser to ascertain willingness to assist. Once the Dean has obtained a response from the prospective adviser, he will advise the Human Resources Division who will make the formal approach to the adviser.

6.4.3 Should the Academic Promotions Committee or the Promotions Appeals Committee consider an application for personal promotion from the rank of Associate Professor to full Professor to have merit but where this decision is *not unanimous*, a Screening Committee, which shall include an external adviser, shall be appointed by the Vice-Chancellor to consider the matter.

Otherwise, the procedures set out above shall apply *mutatis mutandis* in respect of such applicants.

6.5

Those members of staff whose applications are supported by the Academic Promotions Committee shall be informed as soon as possible by the appropriate Dean that a positive recommendation will be made to Senate and Council.

6.6

Those members of staff whose applications have not gained the immediate support of the Academic Promotions Committee shall, within seven working days of the meeting, be briefed by the appropriate Dean regarding the reasons for the Committee's initial view.

The Dean shall confirm these reasons in writing.

6.7

An applicant referred to in 6.6 above may, within seven working days of being informed by the appropriate Dean of the Academic Promotions Committee's recommendation, indicate that he or she wishes to provide additional information and/or make representations to the Committee. This notice must be given in writing to the Director of Human Resources.

An applicant who wishes to make representations or provide further information to the Committee must be given an opportunity to provide written or oral representations to the Committee before it decides what recommendation is to be made to Senate and Council.

The applicant shall be invited to appear before a special meeting of the Academic Promotions Committee convened to consider such additional information and/or representations, and may be accompanied or represented by his/her Head of Department should the applicant so request.

The Committee shall have the right to interview the applicant's Head of Department or any other person who, in the opinion of the Committee, might assist it in coming to a decision.

6.8

Having considered the additional information and/or representations, the Academic Promotions Committee shall, via the appropriate Dean, advise an unsuccessful applicant in writing of its decision, and the reasons therefor.

6.9

Unsuccessful applicants may, within seven working days of being informed of the Committee's decision and the reasons therefor, lodge an appeal, in writing, to the Director of Human Resources.

The applicant shall then be invited to appear before a Promotions Appeals Committee consisting of the Chairperson of Council (Chairperson) (or a person nominated by the Chairperson of Council) and two persons appointed by Senate on the recommendation of the Vice-Chancellor. The Director of Human Resources shall be in attendance, and NTESU shall be entitled to one (1) observer representative who shall normally have served on the Academic Promotions Committee.

6.10

The Promotions Appeals Committee shall invite the following persons to appear before it:

6.10.1 the applicant, who will be requested to motivate the appeal. The applicant’s Head of Department may represent the applicant should the applicant so request.

6.10.2 the chairperson of the Academic Promotions Committee, or any other member nominated by the Academic Promotions Committee, who shall be requested to motivate the decision of the Academic Promotions Committee not to recommend the applicant’s promotion.

6.10.3 the appropriate Dean, or any other member nominated by the Academic Promotions Committee, who shall be requested, as far as it is possible, to provide independent insight into the matter.

6.10.4 any other person who, in the opinion of the Promotions Appeals Committee, might assist it in coming to a decision.

6.11

Having heard the representations and considered the documentation placed before it, the Promotions Appeals Committee shall advise, via the Director of Human Resources, the Academic Promotions Committee and the applicant in writing of its decision, and the reasons therefor. No appeal against this decision will be allowed.

6.12

All positive recommendations from the Academic Promotions Committee and the Promotions Appeals Committee must be consolidated prior to submission for approval by Senate and Council before they become decisions of the University.

6.13

After the recommendations have been approved by Council, unsuccessful applicants may request an interview with the Vice-Chancellor or his nominee and the appropriate Dean, who shall advise them on what steps they should take to be considered for personal promotion in future.

6.14

Where the Academic Promotions Committee or the Promotions Appeals Committee does not support the application(s) for personal promotion, the Committee may recommend the unsuccessful applicant(s) to the Committee which considers the award of merit increments.

7.

The Director of Human Resources will formally notify a staff member of Council’s final decision as soon as it is known.

NOTE: The Staff Cost Unit allocations of Departments and Faculties are irrelevant when assessing candidates for promotion.



CRITERIA

The following criteria will be used as guidelines by the Academic Promotions Committee, but candidates for personal promotion **need not excel in all categories nor in categories which are not appropriate.** *However, for promotions to Senior Lecturer and above, particular attention will be paid to research, publications, creative work, professional standing and academic leadership.*

The criteria listed below are not seen to be exclusive or exhaustive. Applicants should mention any

other achievements or qualities which they feel will support their application. The need to appoint a staff member to a higher grade than the approved established post on grounds of scarcity does not normally form part of the criteria for personal promotion because market-related allowances can be negotiated.

1.
TEACHING ABILITY AND FACILITATION OF LEARNING

Staff who teach and/or supervise research for higher degrees should pay particular attention to University policies in respect of Teaching and Learning.

- 1.1 Scope of teaching involvement, including range of levels taught, nature of audience, structure of interaction (e.g. lectures, workshops, teaching methodologies employed);
- 1.2 Leadership and guidance in undergraduate and postgraduate research, including capacity-building in students;
- 1.3 Teaching ability at various levels (e.g. undergraduate, postgraduate), taking into account both quality of inspiration and degree of critical depth (student evaluations to be taken into account);
- 1.4 Invitations to act as an external examiner;
- 1.5 Academic development work with students and staff;
- 1.6 Innovation in teaching programmes.

NOTE: Departments are welcome to submit criteria for the evaluation of this category.

2.
RESEARCH, PUBLICATIONS AND CREATIVE WORK

- 2.1 Scholarly publications, which could include editorship of publications, software systems, Internet publications, textbooks, posters, etc. for use at primary, secondary and tertiary levels.
- 2.2 Participation in research projects, whether individual or collaborative, large or small, with an indication of the part played.
- 2.3 Contributions presented at research meetings, conferences, workshops or seminars.
- 2.4 Research reports and contributions to public policy formulation.
- 2.5 Evidence of invitations to
 - (a) act as external examiner
 - (b) deliver plenary lectures at national and international conferences
 - (c) referee papers for national and international journals
 - (d) review grant applications from national and international funding agencies.
- 2.6 Ability to attract research funding.
- 2.7 Evidence of scholarship.
- 2.8 Evidence of innovative and/or creative work (e.g. creative writing, dramatic productions,

exhibitions, recitals, media productions, inventions).

3.

ADMINISTRATION AND MANAGEMENT

3.1 Contribution to administration at departmental, faculty or other levels.

3.2 Leadership and management ability.

4.

PROFESSIONAL INVOLVEMENT

4.1 Evidence of standing and recognition within the profession.

4.2 Professional consultancies.

5.

GENERAL

5.1 *Service to the University:*

5.1.1 Committee membership;

5.1.2 Participation in special projects, investigations or reviews;

5.1.3 Residence administration.

5.2 *Community involvement*

5.2.1 Resource development;

5.2.2 Academic contributions in non-academic contexts;

5.2.3 Value of research for the development of the wider community;

5.2.4 Contribution to the development of national policy.

5.3 *Service to the discipline:*

5.3.1 Work on national festivals, subject conferences, professional bodies, policy-making forums, schools' symposia and enrichment, and acting in an advisory capacity to Government, industry or education.

5.3.2 Participation in inter-university curriculum projects, study visits, or courses on teaching and learning.

5.3.3 Invitations as external reviewers and as assessors on selection committees external to the University.

5.3.4 Contribution to professional development of students and staff.

5.3.5 Formal policy and curriculum development at provincial, national or international levels.

5.3.6 Involvement in professional associations.

5.3.7 Professional capacity-building at both institutional (teachers' colleges, NGOs) and personal (in-service courses) levels.

5.3.8 Editing of research or professional journals.

5.3.9 Reviewing of research.

ADDITIONAL CONSIDERATIONS

In addition to the general criteria for personal promotion of academic staff, the following considerations may *inter alia* be taken into account for specific levels of promotion:

Junior Lecturer to Lecturer/Junior Research Officer to Research Officer

- 1 Normally a Masters degree or equivalent.
- 2 Evidence of being academically up-to-date and aware of research developments in area of specialisation.
- 3 Professional experience with proven teaching and/or research ability.
- 4 Ability to work both independently and collaboratively in designing and running teaching programmes, and conducting research.
- 5 Evidence of community and professional involvement.

Lecturer to Senior Lecturer/Research Officer to Senior Research Officer

- 1 Normally a PhD or equivalent.
- 2 Proven competence as a Lecturer/Research Officer (including criteria for promotion to Lecturer/Research Officer).
- 3 Proven ability to teach well at different academic levels and in a variety of fields.
- 4 Evidence of ongoing involvement in research.
- 5 Proven ability to supervise research and to develop research capacity in students and colleagues up to doctoral level.
- 6 A reasonable record of publications in academic and/or professional journals.
- 7 Ability to take on administrative and managerial responsibilities in the Department.
- 8 Active participation at national level (e.g. conferences, policy-making forums).

Senior Lecturer to Associate Professor/Senior Research Officer to Associate Professor

- 1 Proven competence as a Senior Lecturer/Senior Research Officer (including criteria for promotion to Senior Lecturer/Senior Research Officer).
- 2 Recognition as an excellent teacher/researcher.
- 3 Capacity to initiate, design and implement new courses and programmes.
- 4 Ability to initiate, manage and supervise research, including that at doctoral and post-doctoral level.
- 5 Credible research record relative to others in the same field.
- 6 Substantial publication record in appropriate academic and/or professional journals.
- 7 Professional and academic standing in field of specialisation, nationally and internationally.
- 8 Proven contribution to fulfilment of the Department's role and function.
- 9 Ability to assume headship of a Department and/or to contribute to the administration of Faculty.
- 10 Capacity to represent the Department and Faculty at high-level meetings on policy-making and implementation.

Associate Professor to Professor

Proven competence, where relevant and appropriate, in the criteria for associate professorship, with particular emphasis on capacity to lead a department in a dynamic and inspiring way.

25 April 2007