ACADEMIC STAFF  PROMOTIONS

HR POLICY

EFFECTIVE FROM 1 MARCH 2007
ACADEMIC STAFF PROMOTIONS

HR POLICY

Effective from 1 March 2007
1. POLICY INTENT

For the University of Otago to achieve its vision as a research-led university with an international reputation for excellence it must maintain a level of academic discipline and achievement that is respected world-wide. The manner in which the University of Otago bestows academic titles must be of sufficient rigour to ensure that the holder of that title is able to command the respect of their international peers. The contribution of the individual academic to the quality of research and the graduates produced by the University will provide the basis on which both their and the University's reputation will be judged. Equally it is important that the University has the processes in place to support the academic development of its own staff.
2. INTRODUCTION

This document outlines the procedures for promotion to, and additional increments within, academic grades. This policy covers promotion for the following grades:

Schedule 1 Additional increments within the Lecturer and Senior Lecturer scales 43
Schedule 2 Lecturer to Senior Lecturer 44
Schedule 3 To and within the Senior Lecturer (Non-Medical/Dental) range beyond the bar 47
Schedule 4 To Senior Lecturer (Medical and Dental) beyond the bar 50
Schedule 5 To Associate Professor 53
Schedule 6 To Professor 56
Schedule 7 Teaching Fellow to Teaching Fellow above the bar 60
Schedule 8 Senior Teaching Fellow to beyond the third step of the Lecturer scale 62
Schedule 9 Assistant Research Fellow below the bar to Assistant Research Fellow beyond the bar 63
Schedule 10 Assistant Research Fellow beyond the bar to Research Fellow 64
Schedule 11 Research Fellow to Senior Research Fellow 65
Schedule 12 To Senior Research Fellow range beyond the bar 66
Schedule 13 To Research Associate Professor 68
Schedule 14 To Research Professor 70
Schedule 15 To Clinical Reader 72
Schedule 5 To Clinical Associate Professor 53
Schedule 6 To Clinical Professor 56

Promotions generally refer to cases where the job title changes and progression refers to a situation where someone moves up the salary scale but retains the same job title. There is one exception to this definition. A movement to and within the Senior Lecturer range above the bar is considered to be a promotion.

Pro-Vice-Chancellors may, if they wish, provide additional details of the process to be followed within their own Division. These must not contradict the procedures laid down in this document.

This document does not cover:

• Senior lecturer progressions below the bar;
• Biennial reviews of Associate Professors, Research Associate Professors, Research Professors and Professors.

For further information on these processes, go to http://www.otago.ac.nz/humanresources/staffdevelopment/promotionsprogressions

The decision to apply for promotion is made by the applicant. Nevertheless, staff are encouraged to consult with their Heads of Department and/or colleagues when considering applying for promotion to see if the timing of their application is appropriate.

This document is divided into four sections as follows:

| Section A | provides guidance to applicants |
| Section B | provides guidance to Heads of Departments/Deans |
| Section C | outlines the roles of the promotion committees |
| Section D | provides additional information |
SECTION A – GUIDANCE FOR APPLICANTS
3. PERIOD OF ASSESSMENT

If you are applying for promotion to Associate Professor, Research Associate Professor, Clinical Associate Professor, Professor, Research Professor and Clinical Professor, the period of assessment is your full academic record.

If you are applying for promotion or progression below Associate Professor, the period of assessment is since your appointment to the University or your last significant promotion (eg promotion to Senior Lecturer or promotion to Senior Lecturer above the bar).
4. **EQUITY AND ELIGIBILITY**

Promotion is based on merit. The University makes every effort to ensure that all applicants are treated fairly and that the criteria for individual merit are appraised consistently in accordance with equity principles.

The application is submitted by you, as a staff member. However, in some circumstances, you may consider it inappropriate to make the application personally and you may ask a colleague to act on your behalf. For example, it may be culturally inappropriate to make the application on your own behalf.

If you are applying for promotion and are in a part-time position or have had a prolonged absence, you will still be required to meet the same quality standards as other applicants for the promotion you are seeking. However, in recognition of your reduced hours or a prolonged absence, Divisional Promotion Committees may take into account the impact of your reduced hours on the quantity of your research output.

If you are on a fixed term agreement, you may apply for promotion. In the event that you apply for a promotion that would take effect after the end of the term of the agreement, any consideration of the application will not bind the University to provide employment beyond the term of your agreement.

If your appointment is covered by a research grant you may apply for promotion. In such cases, your promotion, if approved, will be subject to the availability of funding. Your application must include confirmation from your cost centre that either the grant has sufficient funds to meet any additional costs, or that your cost centre will support the increased cost.

You may not be promoted to higher grades because of difficulties in recruitment and / or retention. However, if you have a definite job offer (in writing), and your services could be retained if you were to be promoted, you may apply to the Staffing Advisory Committee for promotion at any time. In such cases you are required to submit a full application demonstrating that you meet the standards required for promotion. The Head of Department is required to provide an assessment statement and the Pro-Vice-Chancellor to make a recommendation to the Staffing Advisory Committee. This Pro-Vice-Chancellor’s recommendation must focus on whether the applicant meets the standards for promotion – not the retention issue.
5. CONFIRMATION PATH STAFF

If an applicant is on a confirmation path appointment and is approved for a promotion (as defined in Section 2 – Introduction), the Staffing Advisory Committee will consider early confirmation if:

- objectives have been set and approved in the first confirmation report;
- two further reports have been completed and approved; and
- all objectives and standards have been met.

The Committee will not consider early confirmation if three reports have not been completed.
6. PROMOTIONS BELOW ASSOCIATE PROFESSOR

6.1 INTRODUCTION

This section covers applications:

- for additional increments within the Lecturer and Senior Lecturer scales Schedule 1 43
- from Lecturer to Senior Lecturer Schedule 2 44
- to and within the Senior Lecturer (Non-Medical/Dental) range beyond the bar Schedule 3 47
- to Senior Lecturer (Medical and Dental) beyond the bar Schedule 4 50
- from Teaching Fellow to Teaching Fellow above the bar Schedule 7 60
- from Senior Teaching Fellow to beyond the third step of the Lecturer scale Schedule 8 62
- from Assistant Research Fellow below the Bar to Assistant Research Fellow beyond the bar Schedule 9 63
- from Assistant Research Fellow beyond the bar to Research Fellow Schedule 10 64
- from Research Fellow to Senior Research Fellow Schedule 11 65
- to the Senior Research Fellow range beyond the bar Schedule 12 66

As a staff member, you decide if you apply for promotion. Nevertheless, you are encouraged to consult with your Head of Department and/or colleagues when considering applying for promotion to see if the timing of your application is appropriate.

Given there is no provision to award a promotion higher than that you request, you should consult with your Head of Department about the appropriate level of promotion you should seek.

If your application is unsuccessful, Divisional Committees will consider lesser promotions or progressions. If you are eligible for Senior Lecturer/Senior Research Fellow progression you are not required to apply for it separately. You will automatically be considered for progression by Divisional Committees.

To be promoted, you must demonstrate sustained performance. Generally, it is not possible to demonstrate sustained performance in research or teaching within a year of appointment.

If you are considering applying for an additional increment on the lecturer or senior lecturer scale you should discuss your application with your Head of Department as this promotional step requires comparison against the relative performance of others in your Department.

Once the application is submitted no additional information will be accepted and therefore it is important that the case is made in full at the outset.
6.2 DOCUMENTATION

Your application must include the following documentation:

1. Application form (Appendix 2);

2. Personal statement, outlining the grounds on which promotion is sought (3 page limit, 1.5 spacing, size 12 font). **Please note that any pages in excess of three will be removed from the application before submission to the Divisional Promotion Committee;**

3. Otago Teaching Profile (Appendix 3) except for applications by research only staff under schedules 9 to 14;

4. Copies of critical reviews of published books, or of artistic performances, if available;

5. Current CV in standard format (Appendix 4);

6. Evidence of acceptance of as yet unpublished manuscript(s) (see notes attached to the standard CV); and

7. Head of Department Assessment Statement (Appendix 5).

**You must submit two single sided copies of each application to the Head of Department/Dean who will add a confidential Assessment Statement (Appendix 5) and forward the complete documentation directly to the Human Resources Manager, Promotions and Remuneration, Human Resources to reach the Manager no later than 10 May. No additional information may be submitted after that date.**

You should provide only the documentation that is requested. Providing additional information does not improve your chances of success because the documentation will not be considered.

The Pro-Vice-Chancellor is responsible for ensuring any additional documents provided, apart from those required for the application, are removed from the application before submission to Divisional Committees.

In order to ensure that your application is not mislaid, you should forward a photocopy of your application form (Appendix 2) to the Human Resources Manager, Promotions and Remuneration, Human Resources Division at the time you submit your documentation to your Head of Department.

If you are concerned that your Head of Department is not sufficiently familiar with your work, or for other reasons will not be able to complete the Assessment of your work in a manner that you would reasonably expect, you may ask your most senior colleague in your department or school to prepare an additional Assessment Statement.

You must provide this senior colleague with a copy of your application and a copy of the promotion documentation including the criteria for the promotional step you are seeking and advise the senior colleague of the requirement to forward the complete documentation directly to the Human Resources Manager, Promotions and Remuneration, Human Resources Division to reach the Manager no later than 10 May.

Where you hold a joint appointment in two Divisions and/or Departments, the responsibility for arranging confidential statements from both Deans/Heads of Department rests with you.

Post or deliver your application to the Human Resources Division. You can deliver it to Room 131 in the Clocktower Building or to the Jamieson Building (398 Cumberland St, opposite the New World Supermarket). If you want a receipt, please fill in the tear off slip on the application form.
6.3 ADVICE ABOUT YOUR APPLICATION

You must demonstrate that you meet the key criteria for promotion to or within the grade sought. The performance standards you are required to meet are outlined in the introduction to the promotions schedules (see the schedules in Appendix 1).

Your application will be assessed on work you have done since your appointment or since your last significant promotion (e.g., promotion to senior lecturer or to or within the senior lecturer scale above the bar).

6.3.1 Your Personal Statement

The written application is an essential feature in the promotion process and should be of the highest possible quality. When completing your personal statement you should address the issue of how your performance meets the specific criteria for the promotional step sought. If you are concerned about aspects of your written application you should consult your Head of Department or an experienced colleague for advice.

You need to demonstrate that you have achieved the required performance level in:

- teaching, assessment and curriculum development (except for research only roles);
- research, scholarship, professional practice or performance activities (except for teaching only roles);
- service to the University and the community and demonstration of collegiality within the Department/School.

When you write this statement, do not assume that all the decision-makers are familiar with your discipline. They may need guidance about your work and its significance. You are the person best placed to provide this guidance. Your Head of Department can confirm your claims.

Refer to the Schedule under which you are applying and give examples of how you meet the criteria. Remember that you do not need to meet all the criteria – it is a pick list for your consideration.

You may wish to tell the Committee:

- about your teaching achievements, awards or successes;
- about your innovations in teaching, course development etc;
- about your most significant publications since your appointment or last significant promotion;
- the relative standing or status of the journals in which you published and why it was important for you to publish in them;
- why your publications are significant;
- about your role in multi-authored documents (Are you the lead author? If not, clarify your contribution.)
- how often the article or book has been cited;
- about your creative contributions in your discipline which might include instances of artistic, technical or professional performance or continuing engagement in a professional, technical or artistic field;
- about examples of how highly your work is esteemed by your peers;
- about your contribution to the research environment.

Back up your claims with evidence.

PBRF scores are not part of the criteria for promotion and there is no requirement for you to divulge your score. However, you may choose to include your PBRF score in your personal statement as part of your evidence to support your case.
Unless the PBRF score has been referred to in your application, it is inappropriate for Heads of Department, Deans, Divisional Committees or Pro-Vice-Chancellors to quote your PBRF score or speculate about future scores in their comments or other documentation.

If you have had prolonged absence which has delayed your applications for promotion or which has reduced the quantity of your research output you are encouraged to discuss the situation in your personal statement. However, if you choose not to mention the prolonged absence, it should not be mentioned by Heads of Department in the Assessment Statement or taken into consideration by Divisional Promotion Committees.

6.3.2 Your CV

It is important that you follow the CV format carefully. If you already have a CV, it is wise to check it against appendix 4 of this document to ensure that it is in the required format. Poorly presented or non-standard presentation of information may affect your application for promotion.

For example, when finalising your CV you should ensure that section 7(d) of the CV – Supervision of Post Graduate Students includes:

• the name of the student;
• names of other supervisors (with the prime supervisor in **bold**);
• student enrolment date;
• completion date.

When finalising section 11 of the CV – Publications – you should ensure that:

• page numbers are included for each publication;
• details of your role in any edited books are outlined in the listing;
• there are details about your role in multi-authored documents;
• for publications which have been accepted but not yet published, a copy of the publisher’s letter is included in the application;
• listings of refereed conference proceedings (section 11(g) include only those papers which are published in the Proceedings accompanying the conference. Listings should include page numbers. Abstracts should be listed under the heading other Significant Conference Involvement (section 11(h)).

Ensure that there are no inappropriate details included in your CV or other documentation.
6.3.3 Otago Teaching Profile

You must submit evidence of your teaching performance in support of your application and it should be in the form of a "Teaching Profile" prepared in accordance with the information in The Otago Teaching Profile: Submission Requirements (see Appendix 3). Student evaluation of teaching performance must be submitted as part of the Teaching Profile. The datum on student ratings is to be presented in the form of the annual summaries prepared by the Higher Education Development Centre (HEDC). The summaries are provided automatically to those using the Higher Education Development Centre (HEDC) student questionnaire to evaluate an individual teacher.

Evaluations covering recent programmes of teaching must be included and should not be more than three years old. Please note that evaluations carried out since 1 January 2004 are valid for applications made in 2007. It is not necessary to include evaluations done in 2007. You may submit teaching evaluations undertaken in 2007 if there is a special reason but it is not required as part of the application.

Please note the teaching context statement is optional.

You may submit for consideration questionnaires for student evaluation of teaching performance which are not in the Higher Education Development Centre (HEDC) format provided they are accepted within the Division by the Pro-Vice-Chancellor as an alternative, and justification is made for not using the Higher Education Development Centre (HEDC) questionnaire. If the Higher Education Development Centre (HEDC) standard questionnaires are not used, any material you submit from team taught courses must have all references to other staff members and other academic departments deleted. Data from the Higher Education Development Centre (HEDC) "Evaluations of Coordinators and Team Leaders" may also be submitted. (See chapter 7 in the HEDC Guidelines for the Evaluation of Teaching, 2005.)

You are expected to provide evaluations for all significant teaching responsibilities. However, to avoid overloading students with teaching evaluations you should not evaluate the papers or courses you teach more than once every three years unless there are significant issues relating to your teaching performance or there have been major changes in the course.

Where you have a large number of post graduate supervisions, or most teaching is individual supervision or small groups, you are encouraged to consider peer review of your teaching. Advice on peer review of teaching can be found in chapter 8 in the Guidelines for the Evaluation of Teaching. This book is available on the Higher Education Development Centre (HEDC) web site.

Higher Education Development Centre (HEDC) customised questionnaires derived from the catalogue of questions in the Guidelines for the Evaluation of Teaching are for course development purposes and are not designed to evaluate individual teaching performance. The ratings will not be included in the Higher Education Development Centre (HEDC) summaries prepared for submission with the application. However, you may refer to the results of course development surveys as evidence in the self-evaluation statement of the Teaching Profile. The printout of the results should then be included in your on-call documents (see Appendix 3).

The lack of current student evaluations of teaching will invalidate your case for promotion.

Any inquiries regarding the Otago Teaching Profile should be directed to the Higher Education Development Centre (HEDC) ext. 7581. The HEDC Guidelines for the Evaluation of Teaching, 2005 is the current version. It is available from Heads of Departments, online (see www.otago.ac.nz/hedc) and from HEDC (7581).
6.4 FURTHER INFORMATION ABOUT APPLYING

You can obtain information by phoning 479 8266 or by emailing academic.promotions@otago.ac.nz.

Copies of this document including appendices are available on the University of Otago Website on the Human Resources site at: http://www.otago.ac./humanresources, under Policies.

The Human Resources Division organises “How to Apply for Promotion” Workshops to assist those staff considering applying for promotion. Workshops are scheduled for:

<table>
<thead>
<tr>
<th>DATE</th>
<th>TIME</th>
<th>VENUE</th>
<th>Target Audience*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wednesday 14 March</td>
<td>1.00 to 1.50pm</td>
<td>Archway 3</td>
<td>Division of Science</td>
</tr>
<tr>
<td>Thursday 15 March</td>
<td>5.00 to 6.00pm</td>
<td>Barnett Lecture Theatre, Hospital</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Monday 19 March</td>
<td>1.00 to 1.50pm</td>
<td>Burns 7</td>
<td>Division of Humanities</td>
</tr>
<tr>
<td>Tuesday 27 March</td>
<td>5.00 to 6.00pm</td>
<td>Colquhoun Lecture Theatre</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Wednesday 11 April</td>
<td>5.00 to 6.00pm</td>
<td>Room 2.22, Commerce</td>
<td>Division of Commerce</td>
</tr>
<tr>
<td>Friday 30 March</td>
<td>12.30 to 1.30pm</td>
<td>Department of Psychological Medicine (Wellington School of Medicine) Seminar Room, J24, Level J of Academic Block</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Friday 30 March</td>
<td>4.30 to 5.30pm</td>
<td>Department of Psychological Medicine (Wellington School of Medicine) Seminar Room, J24, Level J of Academic Block</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Wednesday 4 April</td>
<td>12.15 to 1.15pm</td>
<td>Room 711, 7th Floor, Christchurch School of Medicine</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Wednesday 4 April</td>
<td>2.45 to 3.45pm</td>
<td>Room 711, 7th Floor, Christchurch School of Medicine</td>
<td>Division of Health Sciences</td>
</tr>
</tbody>
</table>

* Although each session is targeted at a particular division, anyone from any division may attend any workshop that suits them.
7. PROMOTIONS TO ASSOCIATE PROFESSOR AND PROFESSOR

7.1 INTRODUCTION

This section covers applications for promotion to:

- Associate Professor Schedule 5 53
- Professor Schedule 6 56
- Research Associate Professor Schedule 13 68
- Research Professor Schedule 14 70
- Clinical Reader Schedule 15 72
- Clinical Associate Professor Schedule 5 53
- Clinical Professor Schedule 6 56

As a staff member, you decide if you apply for promotion. Nevertheless, you are encouraged to consult with your Head of Department and/or colleagues when considering applying for promotion to see if the timing of your application is appropriate.

Given there is no provision to award a promotion higher than that you request, you should consult with your Head of Department about the appropriate level of promotion you should seek.

If your application is unsuccessful, Divisional Committees will consider lesser promotions or progressions. If you are eligible for Senior Lecturer/Senior Research Fellow progression you are not required to apply for it separately. You will automatically be considered for progression by Divisional Committees.

Once the application is submitted no additional information will be accepted and therefore it is important that the case is made in full at the outset.
7.2 DOCUMENTATION

Your application must include the following documentation:

1. Application form (Appendix 2);
2. Personal statement, outlining the grounds on which promotion is sought (3 page limit, 1.5 spacing, size 12 font). Please note that any pages in excess of three will be removed from the application before submission to the Divisional Promotion Committee;
3. Otago Teaching Profile (Appendix 3) except for applications by research only staff under schedules 8 to 13;
4. Copies of critical reviews of published books, or of artistic performances, if available;
5. Current CV in standard format (Appendix 4);
6. Evidence of acceptance of as yet unpublished manuscript(s) (see notes attached to the standard CV);
7. Head of Department Assessment Statement (Appendix 5); and
8. List of referees (see 7.4 below).

You also are required to forward an electronic copy of your Curriculum Vitae and personal statement to the Human Resources Manager, Promotions and Remuneration at email: academic.promotions@otago.ac.nz by the closing date of 10 May.

You must submit two single sided copies of each application to the Head of Department/Dean who will add a confidential Assessment Statement (Appendix 5) and forward the complete documentation directly to the Human Resources Manager, Promotions and Remuneration, Human Resources to reach the Manager no later than 10 May. No additional information may be submitted after that date.

You should provide only the documentation that is requested. Providing additional information does not improve your chances of success because the documentation will not be considered.

The Pro-Vice-Chancellor is responsible for ensuring any documents provided, apart from those required for the application, are removed from the application before submission to Divisional Committees.

In order to ensure that your application is not mislaid, you should forward a photocopy of your application form (Appendix 2) to the Human Resources Manager, Promotions and Remuneration, Human Resources Division at the time you submit your documentation to your Head of Department.

If you are concerned that your Head of Department is not sufficiently familiar with your work, or for other reasons, will not be able to complete the Assessment of your work in a manner that you would reasonably expect, you may ask your most senior colleague in your department or school to prepare an additional Assessment Statement.

You must provide this senior colleague with a copy of your application and a copy of the promotion documentation including the criteria for the promotional step you are seeking and advise the senior colleague of the requirement to forward the complete documentation directly to the Human Resources Manager, Promotions and Remuneration, Human Resources Division to reach the Manager no later than 10 May.

Where you hold a joint appointment in two Divisions and/or Departments, the responsibility for arranging confidential statements from both Deans/Heads of Department rests with you.

Post or deliver your application to the Human Resources Division. You can deliver it to Room 131 in the Clock-tower Building or to the Jamieson Building (398 Cumberland St, opposite the New World Supermarket). If you want a receipt, please fill in the tear off slip on the application form.
7.3 ADVICE ABOUT YOUR APPLICATION

You must demonstrate that you meet the key criteria for promotion to or within the grade sought. The performance standards you are required to meet are outlined in the introduction to the promotions schedules (see the schedules in Appendix 1).

Your application will be assessed on your full academic record.

7.3.1 Your personal statement

The written application is an essential feature in the promotion process and should be of the highest possible quality. When completing your personal statement you should address the issue of how your performance meets the specific criteria for the promotional step sought. If you are concerned about aspects of your written application you should consult your Head of Department or an experienced colleague for advice.

You need to demonstrate that you have achieved the required performance level in:

- teaching, assessment and curriculum development (except for research only roles);
- research, scholarship, professional practice or performance activities (except for teaching only roles);
- service to the University and the community and demonstration of collegiality within the Department/School.

When you write this statement, do not assume that all the decision-makers are familiar with your discipline. They may need guidance about your work and its significance. You are the person best placed to provide this guidance. Your Head of Department can confirm your claims.

Refer to the Schedule under which you are applying and give examples of how you meet the criteria. Remember that you do not need to meet all the criteria – it is a pick list for your consideration.

You may wish to tell the Committees:

- about your teaching achievements, awards or successes;
- about your innovations in teaching, course development etc;
- about your most significant publications since your appointment or last significant promotion;
- the relative standing or status of the journals in which you published and why it was important for you to publish in them;
- why your publications are significant;
- about your role in multi-authored documents (Are you the lead author? If not, clarify your contribution.);
- how often the article or book has been cited;
- about your creative contributions in your discipline which might include instances of artistic, technical or professional performance or continuing engagement in a professional, technical or artistic field;
- about examples of how highly your work is esteemed by your peers;
- about your contribution to the research environment;
- about how your have demonstrated leadership in teaching, research or service.

Back up your claims with evidence.

PBRF scores are not part of the criteria for promotion and there is no requirement for you to divulge your score. However you may choose to include your PBRF score in your personal statement as part of your evidence to support your case.
Unless the PBRF score has been referred to in your application, it is inappropriate for Heads of Department, Deans, Divisional Committees or Pro-Vice-Chancellors to quote your PBRF score or speculate about future scores in their comments or other documentation.

If you have had a prolonged absence which has delayed your application for promotion or which has reduced the quantity of your research output you are encouraged to discuss the situation in your personal statement. However, if you choose not to mention the prolonged absence, it should not be mentioned by Heads of Department in the Assessment Statement or taken into consideration by Divisional Promotion Committees.

### 7.3.2 Your CV

It is important that you follow the CV format carefully. If you already have a CV, it is wise to check it against Appendix 4 of this document to ensure that it is in the required format. Poorly presented or non-standard presentation of information may affect your application for promotion.

For example, when finalising a CV you should ensure that section 7(d) of the CV – *Supervision of Post Graduate Students* includes:

- the name of the student;
- the names of other supervisors (with the prime supervisor in **bold**);
- the student enrolment date; and
- the completion date.

When finalising section 11 of the CV – *Publications* – you should ensure that:

- page numbers are included for each publication;
- details of your role in any edited books are outlined in the listing;
- there are details about your role in multi-authored documents;
- for publications which have been accepted but not yet published, a copy of the publisher’s letter is included in the application; and
- listings of refereed conference proceedings (section 11(g) include only those papers which are published in the Proceedings accompanying the conference. Listings should include page numbers. Abstracts should be listed under the heading *Other Significant Conference Involvement* (section 11(h)).

Ensure that there are no inappropriate details included in your CV or other documentation.
7.3.3 Otago Teaching Profile

You must submit evidence of your teaching performance in support of your application and it should be in the form of a "Teaching Profile" prepared in accordance with the information in The Otago Teaching Profile: Submission Requirements (see Appendix 3). Student evaluation of teaching performance must be submitted as part of the Teaching Profile. The datum on student ratings is to be presented in the form of the annual summaries prepared by the Higher Education Development Centre (HEDC). The summaries are provided automatically to those using the Higher Education Development Centre (HEDC) student questionnaire to evaluate an individual teacher.

Evaluations covering recent programmes of teaching must be included and should not be more than three years old. Please note that evaluations carried out since 1 January 2004 are valid for applications made in 2007. It is not necessary to include evaluations done in 2007. You may submit teaching evaluations undertaken in 2007 if there is a special reason but it is not required as part of the application.

Please note the teaching context statement is optional.

You may submit for consideration questionnaires for student evaluation of teaching performance which are not in the Higher Education Development Centre (HEDC) format provided they are accepted within the Division by the Pro-Vice-Chancellor as an alternative, and justification is made for not using the Higher Education Development Centre (HEDC) questionnaire. If the Higher Education Development Centre (HEDC) standard questionnaires are not used, any material you submit from team taught courses must have all references to other staff members and other academic departments deleted. Data from the Higher Education Development Centre (HEDC) “Evaluations of Coordinators and Team Leaders” may also be submitted. (See Chapter 7 in the HEDC Guidelines for the Evaluation of Teaching, 2005.)

You are expected to provide evaluations for all significant teaching responsibilities. However, to avoid overloading students with teaching evaluations you should not evaluate the papers or courses you teach more than once every three years unless there are significant issues relating to your teaching performance or there have been major changes in the course.

Where you have a large number of post graduate supervisions, or most teaching is individual supervision or small groups, you are encouraged to consider peer review of your teaching. Advice on peer review of teaching can be found in chapter 8 in the Guidelines for the Evaluation of Teaching. This book is available on the Higher Education Development Centre (HEDC) web site.

Higher Education Development Centre (HEDC) customised questionnaires derived from the catalogue of questions in the Guidelines for the Evaluation of Teaching are for course development purposes and are not designed to evaluate individual teaching performance. The ratings will not be included in the Higher Education Development Centre (HEDC) summaries prepared for submission with the application. However, you may refer to the results of course development surveys as evidence in the self-evaluation statement of the Teaching Profile. The printout of the results should then be included in your on-call documents (see Appendix 3).

The lack of current student evaluations of teaching will invalidate your case for promotion.

Any inquiries regarding the Otago Teaching Profile should be directed to the Higher Education Development Centre (HEDC) ext. 7581. The HEDC Guidelines for the Evaluation of Teaching, 2005 is the current version. It is available from Heads of Departments, online (see www.otago.ac.nz/hedc) and from HEDC (7581).
7.4 REFEREES

You must provide a list of potential referees if you are applying for promotion to Clinical Associate Professor, Associate Professor, Research Associate Professor, Clinical Professor, Professor and Research Professor.

You may seek promotion only on the understanding that:

• referee reports are to be supplied to the University in confidence;
• the referee reports will not be released to you;
• the identity of referees selected by the University will not be disclosed to you; and
• the University reserves the right to seek whatever information it sees fit.

You must include the names and full contact details (mailing address, email and phone numbers) of five potential referees qualified to evaluate your research.

No more than one of your five nominated referees may be or have been a research collaborator, co-author or former research supervisor of the applicant in the past five years.

Normally, the list of referees:

• must include one referee from New Zealand;
• should include one further Australasian referee;
• must include at least three international referees (of which no more than two may be from the same University).

If you cannot meet the above requirements, you must explain why.

As a general principle, you should not nominate as referees members of your own department.

If you are applying for promotion to Associate Professor, Clinical Associate Professor or Research Associate Professor, no more than one referee chosen by the University will be based at the University of Otago.

If you are applying for promotion to Clinical Professor, Professor or Research Professor all referees will be external to the University of Otago and generally should be Professors.

When nominating referees, you should take particular care to ensure that the nominated referees will be able to address the promotion criteria particularly with respect to your international reputation in research and scholarship. It is acknowledged that they are unlikely to have detailed knowledge of your teaching and community service. Referees familiar with an academic structure similar to that of New Zealand universities may be preferable to those familiar only with other university systems. If you are applying for Professor, Research Professor or Clinical Professor it is preferable that your nominations are Professors.

You must provide a statement outlining your relationship with each potential referee and the referee's particular expertise. One of the purposes of this statement is to demonstrate that there is no conflict of interest for the potential referee. Amongst other things, this means the referee cannot be a close personal friend. You must make it clear if you have collaborated or otherwise worked with the nominated referee in the past. If you have collaborated with a nominated referee, briefly outline the nature of the collaboration.

The University will seek reports from four referees. The referees are normally but not always selected from your list.
7.5 RE-APPLYING FOR PROMOTION TO THE ASSOCIATE PROFESSOR AND PROFESSORIAL LEVEL

If you unsuccessfully applied last year for promotion to Clinical Associate Professor, Associate Professor, Research Associate Professor, Clinical Professor, Professor and Research Professor you may not apply for the same promotion step this year.

You may seek an exemption from this requirement by applying in writing to the Deputy Vice-Chancellor (Academic and International). Your request must set out the changes in your circumstances which have significantly improved the probability of promotion.

7.6 FURTHER INFORMATION ABOUT APPLYING

You can obtain information by phoning 479 8266 or by emailing academic.promotions@otago.ac.nz.

 Copies of this document including appendices are available on the University of Otago Website on the Human Resources site at: http://www.otago.ac./humanresources, under Policies.

The Human Resources Division organises “How to Apply for Promotion” Workshops to assist those staff considering applying for promotion. Workshops are scheduled for:

<table>
<thead>
<tr>
<th>DATE</th>
<th>TIME</th>
<th>VENUE</th>
<th>Target Audience*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wednesday 14 March</td>
<td>1.00 to 1.50pm</td>
<td>Archway 3</td>
<td>Division of Science</td>
</tr>
<tr>
<td>Thursday 15 March</td>
<td>5.00 to 6.00pm</td>
<td>Barnett Lecture Theatre, Hospital</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Monday 19 March</td>
<td>1.00 to 1.50pm</td>
<td>Burns 7</td>
<td>Division of Humanities</td>
</tr>
<tr>
<td>Tuesday 27 March</td>
<td>5.00 to 6.00pm</td>
<td>Colquhoun Lecture Theatre</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Wednesday 11 April</td>
<td>5.00 to 6.00pm</td>
<td>Room 2.22, Commerce</td>
<td>Division of Commerce</td>
</tr>
<tr>
<td>Friday 30 March</td>
<td>12.30 to 1.30pm</td>
<td>Department of Psychological Medicine (Wellington School of Medicine) Seminar Room, J24, Level J of Academic Block</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Friday 30 March</td>
<td>4.30 to 5.30pm</td>
<td>Department of Psychological Medicine (Wellington School of Medicine) Seminar Room, J24, Level J of Academic Block</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Wednesday 4 April</td>
<td>12.15 to 1.15pm</td>
<td>Room 711, 7th Floor, Christchurch School of Medicine</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Wednesday 4 April</td>
<td>2.45 to 3.45pm</td>
<td>Room 711, 7th Floor, Christchurch School of Medicine</td>
<td>Division of Health Sciences</td>
</tr>
</tbody>
</table>

* Although each session is targeted at a particular division, anyone from any division may attend any workshop that suits them.
SECTION B - GUIDANCE FOR HEADS OF DEPARTMENTS/DEANS
8. ROLE OF HEADS OF DEPARTMENTS/DEANS

8.1 ROLES OF THE HEAD OF DEPARTMENT/DEAN

As Head of Department or Dean, your role is critical to Divisional Committees and Staffing Advisory Committee being able to assess whether an applicant meets the criteria for promotion.

You should:

- draw attention to the availability of this document to all academic staff in your department/school. Staff members then can choose if they wish to apply;
- advise staff, as required, on the level of promotion they should seek;
- set a date by which your staff must submit their promotion applications to you in order that you have time to prepare the confidential Assessment Statement and forward the application to the Human Resources Manager, Promotions and Remuneration, Human Resources Division by 10 May;
- ensure that the documentation submitted to you is complete; and
- validate and assess applications by the staff.

You may be called to appear before the Divisional Committee, Staffing Advisory Committee or the Special Committee established by the Vice-Chancellor to consider applications for Professor, Research Professor and Clinical Professor to clarify any questions relating to applications by your staff.

If you do appear before a Committee, you are expected to be fully conversant with the contents of the CVs of your staff being considered for promotion or progression. You can expect to be asked questions regarding the quality of journals, the extent of the involvement of the applicant in a research project, the quality of teaching innovations etc. You will not be asked to advocate for the applicant.

8.2 DOCUMENTATION

The application documents required by applicants are set out in sections 6 & 7 above. You should ensure that the documentation submitted by applicants is complete and correct including ensuring that:

- a full Otago Teaching profile is provided and that it covers no more than the past three calendar years at Otago (2004, 2005 and 2006 only unless there are special reasons given);
- applicants submit the standard CV correctly particularly in relation to the listings of publications and ensure that material is not duplicated within the document.

You should advise staff when the documentation submitted is incorrect or inappropriate and ask them to revise and resubmit it.

You should ensure that there are no inappropriate details in the applicants’ CVs or other documentation before their application is submitted.
8.3 ASSESSMENT STATEMENT

You are required to provide a confidential Assessment Statement (Appendix 5) for the purpose of determining the suitability of the staff member for the promotion sought.

Your role is to provide expert advice to the Divisional Committee and to the Staffing Advisory Committee. The Assessment Statement must verify the claims made by the applicant. You are asked to comment on:

• the student evaluations of teaching and compare it with the expectations for the department or division;
• the quality of significant publications (tell the Committee specifically which publications are high quality and why);
• the applicant’s contribution to multi-author publications (if the applicant is not the lead author, what was his or her contribution?);
• the significance of conference proceedings and ensuring a clear distinction between proceedings, abstracts and oral presentations;
• the quality of post graduate supervisions;
• how the staff member is rated by peers in his or her discipline;
• the applicant’s contribution to the research environment; and
• whether the service contribution is appropriate.

You should not be advocating for the applicant – instead you should be confirming claims made by the applicant and providing the evidence to support your recommendation.

8.4 DEANS IN THE DIVISION OF HEALTH SCIENCES

Deans in the Division of Health Sciences may endorse the Heads of Department Assessment Statement, or if they wish, write a separate comment on the application.

8.5 CONFIDENTIALITY OF THE ASSESSMENT STATEMENT

The Assessment Statement prepared by you, as Head of Department (and Dean where applicable), or someone acting in that role, will be kept confidential by the University in accordance with the provisions of Section 29(1)(b) and 29(3)(a) of the Privacy Act 1993 because it is evaluative material. The statement should be marked Confidential and include a statement such as the following:

I provide this statement on the understanding that it will remain confidential to those concerned with considering this promotion and will not be used for any other purpose.

You may, if you wish, show this statement to the staff member concerned.

Nevertheless, you should note that, if an application for promotion is declined and the statement was material to that decision, the University would have to release the statement to the unsuccessful applicant should they seek the reasons for the decision.

8.6 IF THERE IS A CONFLICT OF INTEREST BETWEEN THE HEAD OF DEPARTMENT AND THE APPLICANT?

If there is a conflict of interest between you, as the Head of Department and the applicant, the Pro-Vice-Chancellor should be advised. The Pro-Vice-Chancellor should arrange for another appropriate senior staff member to provide the confidential assessment statement for the staff member. An explanation for the substitution should be included in the statement.
8.7 IF THE HEAD OF DEPARTMENT IS AN APPLICANT?

If you are an applicant for promotion, the Pro-Vice-Chancellor or suitable person approved by the Pro-Vice-Chancellor (or Deans where applicable) should provide the confidential assessment statement for you.

If you are an applicant for the same promotional step as a staff member within your department, the Pro-Vice-Chancellor should be advised. The Pro-Vice-Chancellor should arrange for another appropriate senior staff member to provide the confidential statement for the staff member.

8.8 FURTHER INFORMATION

If you are new to this role, you should seek help or support from their Dean or Pro-Vice-Chancellor, as appropriate, or you may seek training provided by Human Resources and the Higher Education Development Centre (HEDC).

You can obtain information by phoning 479 8266 or by emailing academic.promotions@otago.ac.nz.

Copies of this document including appendices are available on the University of Otago Website on the Human Resources site at: http://www.otago.ac./humanresources, under Policies.

The Higher Education Development Centre (HEDC) and the Human Resources Division will jointly organise a lunch-time meeting for Heads of Academic Departments on April 3 2007 in Dunedin. This will encourage Heads of Department to reflect on their role in academic staff confirmation, promotion, progression and scholarship-development. Heads will receive invitations in due course, but those interested in booking their place should contact the HEDC Centre Administrator on 479 8492, or email: hedc@otago.ac.nz. Similar opportunities will be provided to Heads of Academic Departments at the northern campuses when HR runs promotion workshops there.
SECTION C - GUIDANCE FOR PROMOTION COMMITTEES
9. ROLE OF DIVISIONAL COMMITTEES

9.1 DELEGATED AUTHORITY

The Vice-Chancellor has delegated to the Pro-Vice-Chancellors, advised by Divisional Committees, authority to consider whether cases presented to them have met the criteria for the promotion/progression sought or an alternative lesser promotion. Divisional Committees may not make decisions or recommendations with respect to promotional steps higher than that originally sought.

The delegation is also made on the basis that all the documentation and processes have been fully complied with. For example, the absence of required documentation such as student evaluations of teaching invalidates the application. Further documentation to that supplied with the original application is not to be sought or accepted by the Pro-Vice-Chancellor or the Divisional Committee.

Decisions delegated to Divisional Committees are:

• from Assistant Research Fellow below the bar to Assistant Research Fellow beyond the bar;
• from Assistant Research Fellow beyond the bar to Research Fellow (subject to confirmation from the Head of Department that the grant has sufficient funds to meet any additional costs or that the cost centre will support the increase);
• from Teaching Fellow to Teaching Fellow above the bar;
• Senior Teaching Fellow promotion beyond LG03 and above;
• from Lecturer to Senior Lecturer*;
• from Research Fellow to Senior Research Fellow (subject to confirmation from the Head of Department that the grant has sufficient funds to meet any additional costs or that the cost centre will support the increase);
• across the bar in the Senior Lecturer (Non-Medical/Dental) scale*;
• within the Senior Lecturer (Non-Medical/Dental) Range (SLGR)*;
• beyond the bar Medical and Dental Senior Lecturers*;
• to Clinical Reader;
• Additional increments within Lecturer and Senior Lecturer scales - one additional step only

* including confirmation path staff members in unconfirmed positions

Divisional Committees make recommendations to the Staffing Advisory Committee for applications to:

• Associate Professor;
• Research Associate Professor;
• Clinical Associate Professor;
• Professor;
• Research Professor;
• Clinical Professor;
• Clinical Reader.
9.2 MEMBERSHIP OF THE DIVISIONAL COMMITTEES

Each Division has a promotions committee constituted as follows:

- Pro-Vice-Chancellor, Convener;
- Four senior staff members who have had experience in this area.

The four senior staff members from within the Division should ideally be people who have served on Staffing Advisory Committee, or have had experience as a Head of Department within the Division, or alternatively be a staff member of the Division who has sufficient experience to sit on such a Committee. Current Deans or Heads of Departments will not be eligible to sit on this Committee because of a potential conflict of interest. Each Pro-Vice-Chancellor will select the four people after appropriate consultations bearing in mind the academic staff demography of their Division. Where practical and possible, at least one of the four staff members from within the Division should be female.

- Two senior staff members from outside the Division, nominated by the Vice-Chancellor, who have also had experience on Staffing Advisory Committee or as a Head of Department;

The two external representatives will be drawn from two other Divisions within the University and will be members of their own Divisional Promotion Committee in the current year.

The external representatives will be chosen by the University as follows:

- Commerce: Health Sciences (Non-Clinical) and Sciences
- Health Sciences Clinical: Sciences and Commerce
- Health Sciences Non-Clinical: Sciences and Humanities
- Humanities: Commerce and Health Sciences (Non-Clinical)
- Sciences: Humanities and Health Sciences (Clinical)

Each of these representatives will also serve on their own Division’s Promotion Committee. This means that, in addition to the Pro-Vice-Chancellor, each Divisional Promotion Committee will have four people who will be involved in the wider University process. Pro-Vice-Chancellors must advise the Human Resources Division of the composition of their divisional committee by not later than 15 March so that those who are to represent the Vice-Chancellor can be selected for other Divisional Committees. The Human Resources Division will seek approval from the Vice-Chancellor for your nominations.

- Appropriate observer status for the Association of University Staff (AUS) and Equal Employment Opportunities (EEO) observers will be maintained.

It is the responsibility of each Division to invite observers to attend.

9.3 OBSERVERS

Association of University Staff (AUS) observers and Equal Employment Opportunities (EEO) observers, will be present. Observers may report back to the Committee with commentary and suggestions.

9.4 TIMING OF THE MEETINGS

Divisional Committees generally meet in June or early July in order to ensure that the Minutes are submitted to the Human Resources Division by 6 July.

Pro-Vice-Chancellors must ensure that their Divisional Committee meeting dates do not occur on the same day as that of other Divisions.
9.5 INFORMATION SESSIONS FOR NEW DIVISIONAL COMMITTEE MEMBERS

Human Resources and HEDC will hold briefing sessions for new Divisional Committee members. The Human Resources Division will contact all new Committee members soon after the nominations are approved and arrange a suitable time.

Copies of this document including appendices are available on the University of Otago Website on the Human Resources site at: http://www.otago.ac./humanresources, under Policies.

9.6 PROCEDURES WITHIN DIVISIONAL COMMITTEES

Divisional promotion committees evaluate applications for the promotion sought. If the promotion requested is unsuccessful, then the committee evaluates for a lesser promotion, or Senior Lecturer/Senior Research Fellow progression.

Divisional Committee must assign a performance rating for each area for which the applicant is being assessed (teaching and/or research and service). It is not enough to simply state that the applicant has not reached the required standard. Committees must provide a rating (sustained competence (SC), sustained high competence (SHC), sustained outstanding competence (SOC) or sustained outstanding leadership and competence (SOLC)). If the Committee is unable to agree on a rating, the various views should be set out in the Minutes.

A committee member must leave the room during the consideration of a case where there may be a conflict of interest for reasons such as the applicant:

• working in the same department;
• working in the same professional discipline;
• having collaborated on research projects etc.

The Divisional Committee may meet with the Head of Department/Dean to discuss each case. The principal role of the Head of Department at this meeting is to provide clarification and advice on the documents. Heads of Department (and Deans where applicable) will only be called before Divisional Committees if there are points requiring clarification. External referees’ reports may be sought if it is considered necessary by the Committee or the Heads of Department.

Heads of Departments are expected to be fully conversant with the contents of CVs of their staff being considered for promotion or progression. Heads of Department can expect to be asked questions regarding the quality of journals, the extent of the involvement of the applicant in a research project, the quality of teaching innovations etc. Heads of Department should not advocate on behalf of their staff.

9.7 LESSER PROMOTIONS

In cases where Divisional Committees recommend a substantial promotion to the Staffing Advisory Committee, they should also consider alternative lesser promotions or progressions including Senior Lecturer/Senior Research Fellow (Non-Medical Dental scale) progression. Such alternative lesser promotions will involve a promotional step for which the decision has been delegated to the Divisional Committee (e.g. promotion within the Senior Lecturer (Non-Medical/Dental) range.) Applicants for promotion who are eligible for Senior Lecturer/Senior Research Fellow progression are not required to apply for it separately.
9.8 DIVISIONAL COMMITTEE MINUTES

Committees are asked to submit the Minutes in the form outlined in Appendix 6. This form can be downloaded from the web.

Both decisions made within the Divisions and comments and recommendations on applications to be considered by the Staffing Advisory Committee must reach the Human Resources Manager, Promotions and Remuneration, Human Resources Division by 6 July. In all instances, Divisional Committees are to minute the assessment of each applicant in the areas of Teaching, Research and Service (as applicable).

Recommendations to the Staffing Advisory Committee on cases to be considered by that Committee, must include a grading of, "strongly supported", "supported", or "not supported" and be accompanied by a brief justification by the Pro-Vice-Chancellor of the reasons for each grading. In all instances, Divisional Committees are to minute the assessment of each applicant in the areas of Teaching, Research and Service.

In submitting Divisional decisions the Pro-Vice-Chancellor is to provide a brief report on each case, giving the reasons for the decision taken. Pro-Vice-Chancellors are to ensure that all supporting documentation is adequate to justify the decision taken. The promotion exercise will be subject to monitoring and audit as part of the quality audit process.

In the minutes, please note:

• if recommendations are not unanimous. Where there is a split decision, please include in the minutes an outline of the different viewpoints within the committee;

• if the recommendation for promotion or progression is a majority vote as opposed to a unanimous one, Staffing Advisory Committee must be advised if either the Pro-Vice-Chancellor or external representatives dissent and the reasons for the different viewpoints. In such a case the Staffing Advisory Committee reserves the right to review the recommendation;

• if a committee member has minority support for promotion or progression and that support includes one or both of the external members of the Division's Promotion Committee, or the Pro-Vice-Chancellor, Staffing Advisory Committee must be advised and informed why the majority of the Divisional representatives do not support the case;

• if no member of the Promotion Committee supports the case for promotion or progression Staffing Advisory Committee should be advised to this effect, together with the reasons;

• if the Committee unanimously agrees that the applicant should have applied for a greater promotion, it should be noted in the Minutes. When the Human Resources Manager writes to the applicant with the decision, he or she will be encouraged to reapply next year and will be advised that the promotion case will be based on achievements from the date of appointment rather than the promotion approved this year.

Staffing Advisory Committee considers and decides upon those cases where there is a difference of opinion held on any case by an external representative or Pro-Vice-Chancellor from the opinion of the Divisional Committee as a whole.

The section of the Minutes relating to an applicant’s promotion decision can be released to the applicant, although not necessarily “word for word”. Information about any particular Committee member’s views on the decision will not be released.
9.9 NOMINATING REFEREES

Applicants for promotion to Clinical Associate Professor, Associate Professor, Research Associate Professor, Clinical Professor, Professor and Research Professor must provide a list of potential referees. The applicants must provide details of their relationships with each potential referee and the referee’s particular expertise. They must make it clear if they have collaborated and the nature of that collaboration or if they have otherwise worked with the nominated referee in the past.

Applicants must include the names of five potential referees qualified to evaluate their research. The list of referees normally:

- must include one referee from New Zealand;
- should include one further Australasian referee; and
- must include at least three international referees (of which no more than two may be from the same University).

If the applicant cannot meet the above requirements, they must explain why.

Pro-Vice-Chancellors must ensure that the nominated referees are genuinely of a calibre to assist the Committees. The University reserves the right to decline to use any nominated referee/s and to canvass more widely than the nominated referees if this is considered necessary to obtain an adequate assessment of the merits of the case.

Pro-Vice-Chancellors are required to provide to the Staffing Advisory Committee by 6 July 2007 names and full contact details (including fax numbers and email addresses where available), verify the suitability of and give reasons for nominating at least four referees for each applicant supported by the Divisional Committee. The nominations are normally, but not always, selected from the five nominations put forward by the applicant.

For applicants for promotion to Associate Professor, Clinical Associate Professor or Research Associate Professor at least three of the four referees must be external to the University of Otago.

For applicants for promotion to Clinical Professor, Professor or Research Professor all four referees should be external to the University of Otago and generally should be Professors.

In most disciplines the external referees will be expected to be referees of international standing. When selecting referees, Pro-Vice-Chancellors should take particular care to ensure that the nominated referees will be able to address the promotion criteria particularly with respect to the applicant’s international reputation in research and scholarship. It is acknowledged that they are unlikely to have detailed knowledge of the applicant’s teaching and community service. Referees familiar with an academic structure similar to that of New Zealand universities may be preferable to those familiar only with other university systems.

Pro-Vice-Chancellors must ensure that not more than one of the referees may be or have been a research collaborator, co-author or former research supervisor of the applicant in the past five years. In addition, referees may not be close personal friends of the applicants.

Given that the list of referees nominated by applicants is provisional only, Pro-Vice-Chancellors should not contact them to ascertain their availability. The Human Resources Division contacts referees after the Staffing Advisory Committee has chosen them.

The University reserves the right to decline to use any nominated referee/s and in such circumstances will consult with the Pro-Vice-Chancellor.

Pro-Vice-Chancellors may wish to seek the advice of Divisional Committees in choosing external assessors for applicants for Professor, Research Professor and Clinical Professor. Pro-Vice-Chancellors are required to provide to the Human Resources Division by 23 August 2007 nominations for the Special Committee. Pro-Vice-Chancellors must nominate two people for external assessors for each applicant for Professor, Research Professor and Clinical Professor. Full contact and relationship details must be provided. Please note that external assessors may not be referees nominated by the applicant. The Human Resources Division will write in early August with a list of applicants who have been referred to the Special Advisory Committee to consider the applications.
9.10 NOTIFICATION OF DECISIONS

1. No applicant should be notified of the promotion decision until 12 October.

2. Responsibility for advising unsuccessful applicants for promotion of the outcome of their case and the reasons for their promotion not being approved rests with the Human Resources Division. In the case of promotional steps for which decisions have been delegated to Divisions, the Human Resources Division will draft letters based on the reasons submitted by the Pro-Vice-Chancellor at the time Divisional decisions and recommendations are submitted to Staffing Advisory Committee.

3. All successful applicants for both promotion and progression will receive formal letters from the Human Resources Manager, Promotions and Remuneration, Human Resources Division at the end of the promotion exercise. These will be mailed in order to reach applicants on 12 October.

9.11 CONFIDENTIALITY

Divisional Committees will operate with regard to the principle of strict confidentiality.
10. ROLE OF THE STAFFING ADVISORY COMMITTEE

10.1 DELEGATED AUTHORITY

Staffing Advisory Committee considers applications for promotion:

• to Associate Professor;
• to Clinical Associate Professor;
• to Research Associate Professor (subject to confirmation from the Head of Department that the grant has sufficient funds to meet any additional costs);
• to Clinical Professor;
• to Professor;
• to Research Professor;
• of more than one additional increment within the Lecturer and Senior Lecturer scales; and
• applications referred by Divisional Committees

Promotions which are subject to consideration by Staffing Advisory Committee are referred to the Divisional Committee for an initial assessment. Staffing Advisory Committee advises the Vice-Chancellor on promotion cases. The final authority rests with the Vice-Chancellor.

10.2 CHAIRPERSON

Staffing Advisory Committee is chaired for this purpose by the Deputy Vice-Chancellor (Academic and International) and, except for promotions to Professor, Research Professor and Clinical Professor, without the Vice-Chancellor in attendance.

10.3 OBSERVERS

Association of University Staff (AUS) observers and the Manager, Professional Development and Equity, will be present except for consideration of promotions to Professor, Research Professor and Clinical Professor. Observers may report back to the Committee with commentary and suggestions.
10.4 PROCESS

Upon receipt of the full documentation, together with the Divisional recommendation, the Committee meets and allocates each case a preliminary assessment of strongly supported, supported, not supported.

A committee member must leave the room during the consideration of a case where there may be a conflict of interest for reasons such as the applicant:

- working in the same department;
- working in the same professional discipline;
- having collaborated on research projects etc.

Pro-Vice-Chancellors are advised of these preliminary assessments and are invited to meet with the Committee to discuss any cases about which the Committee requires further information. If Pro-Vice-Chancellors seek to discuss any Committee decisions, they may contact the Human Resources Manager, Promotions and Remuneration, and arrange to meet with the Committee. The Pro-Vice-Chancellor, Health Sciences may be supported by Deans of Schools at this meeting should the Pro-Vice-Chancellor so wish.

Following this, the Committee makes a firm recommendation to the Vice-Chancellor to either:

- approve the promotion;
- decline the promotion;
- give further consideration (in the case of applicants for promotion to Associate Professor/Research Associate Professor/Clinical Associate Professor);
- refer the case to a Special Advisory Committee in the case of promotion to Professor/Clinical Professor/Research Professor.

10.5 NOTIFICATION OF DECISIONS

1. No applicant should be notified of the promotion decision until 12 October.

2. Unsuccessful applicants will receive advice of this from the Human Resources Manager, Promotions and Remuneration, Human Resources Division, together with an invitation to discuss the reasons for their non-promotion with the Deputy Vice-Chancellor (Academic and International) should they so wish.

3. All successful applicants for both promotion and progression will receive formal letters from the Human Resources Manager, Promotions and Remuneration, Human Resources Division at the end of the promotion exercise. These will be mailed in order to reach applicants on 12 October.
11. SPECIAL ADVISORY COMMITTEES TO CONSIDER APPLICATIONS FOR PROFESSOR, RESEARCH PROFESSOR AND CLINICAL PROFESSOR

The University establishes Special Advisory Committees to consider promotions to Professor, Research Professor and Clinical Professor. Referees' reports will be taken up and generally these will be international referees.

Pro-Vice-Chancellors must ensure that the nominated referees are genuinely of a calibre to assist the Committee. The University reserves the right to decline to use any nominated referee/s and to canvass more widely than the nominated referees if this is considered necessary to obtain an adequate assessment of the merits of the case.

The Committee may meet with the Head of Department/Dean to discuss each case. The principal role of the Head of Department at the meeting is to provide clarification and advice on the documents. Heads of Department (and Deans where applicable) will only be called before the Special Advisory Committee if there are points requiring clarification.

Each Special Advisory Committee comprises the:

- Vice Chancellor;
- Deputy Vice-Chancellor (Academic and International);
- Pro-Vice-Chancellor;
- Two Professors from within the Division, nominated by the Pro-Vice Chancellor and approved by the Vice-Chancellor;
- One Professor from another Division, nominated by the Pro-Vice-Chancellor and approved by the Vice-Chancellor;
- One external assessor for each applicant, nominated by the Pro-Vice-Chancellor and approved by the Vice-Chancellor.

Pro-Vice-Chancellors are required to provide to the Human Resources Division by 23 August 2007 nominations for the Special Committee. The nominations will be referred to the Vice-Chancellor for approval.

Pro-Vice-Chancellors must nominate two people for external assessor for each applicant for Professor, Research Professor and Clinical Professor. Full contact and relationship details must be provided. Please note that external referees may not be referees nominated by the applicant. The Human Resources Division will write in early August with a list of applicants who have been referred to the Special Advisory Committee to consider the applications.

Upon advice from the Special Advisory Committee, the Vice-Chancellor either approves or declines the promotion.
12. APPEAL

There is no right of appeal against non-promotion on the grounds of the judgement of the University.

There is a right of appeal against non-promotion on the grounds of a failure in procedure that is so substantial that it may have affected the decision.

Where a staff member has concerns about procedure, they should first discuss this with the Pro-Vice-Chancellor.

If after discussing the procedure with the Pro-Vice-Chancellor, the staff member considers that they have grounds for appeal under this clause, then they may lodge a written appeal with the Human Resources Manager, Promotions and Remuneration, Human Resources, providing that such appeal is lodged within two weeks of the advice of the promotion decision. Resubmission of the original application or the provision of new information will not be accepted. The appeal must detail procedural failure or breaches of procedures only.

Staff members expecting to be on leave in mid October when promotion decisions are forwarded should make arrangements with their Department to have the decision forwarded to them preferably by fax or email in order that, if necessary, they may comply with the time frame for requesting such a review.

The decision of the Vice-Chancellor will be final.

In cases where Heads of Department, Deans or Pro-Vice-Chancellors are concerned that the wrong decision has been made or key information overlooked in consideration of an application, they are encouraged to discuss the issues with their Pro-Vice-Chancellor or with the Deputy Vice-Chancellor (Academic and International), as appropriate. Such a discussion should happen as soon as possible after the notification of the decisions.
13. TIMETABLE 2007 (for promotions effective from 1 February 2008)

13 March  Documentation for promotions taking effect from the following 1 February will be circulated to Pro-Vice-Chancellors, Heads of Department, Deans and will also be made available electronically through the University network.

15 March  Pro-Vice-Chancellors to advise the Human Resources Division of membership of Divisional Promotion Committees.

29 March  Vice-Chancellor to advise Pro-Vice-Chancellors of his representatives on the Divisional Promotion Committees.

March/April  Workshops on “How to Apply for Promotion” held

3 April  Workshop for Heads of Departments held.

10 May  Applications/recommendations for promotion to be received by the Human Resources Manager, Promotions and Remuneration, Human Resources Division.

May  Briefing Session(s) offered by Human Resources and the Higher Education Development Centre (HEDC) for new Divisional Committee members.

1 June  Applications for consideration by Divisional promotional committee forwarded to Pro-Vice-Chancellor.

June/early July  Divisional Promotion Committees meet.

6 July  Divisional Committee decisions, together with recommendations concerning promotions to be considered by Staffing Advisory Committee, received by the Human Resources Manager, Promotions and Remuneration, Human Resources Division. The Minutes includes all information concerning recommended referees for applicants seeking advancement to Associate Professor, Research Associate Professor, Clinical Associate Professor, Research Professor, Professor and Clinical Associate Professor.

25 July  Papers issued by the Human Resources Division to Staffing Advisory Committee and observers.

9 August  Staffing Advisory Committee preliminary assessments only.

August  External referees’ reports requested for those applicants for promotion to Associate Professor, Clinical Associate Professor, Research Associate Professor, Clinical Professor, Professor or Research Professor which Staffing Advisory Committee has recommended be taken to the next stage.

23 August  Pro-Vice-Chancellors advise the Human Resources Division of their nominations for membership of Special Advisory Committees established to consider applications for promotion to Professor, Research Professor and Clinical Professor.

4 September  Staffing Advisory Committee meets with Pro-Vice-Chancellors and Deans (if appropriate), and makes final assessments as appropriate.

2 October  Staffing Advisory Committee chaired by the Deputy Vice-Chancellor (Academic and International) meets to consider promotions to Associate Professor.

12 October  Notification of promotion decisions forwarded to reach applicants on 12 October. Please note that some applicants for Associate Professor, Clinical Associate Professor, Research Associate Professor, Clinical Professor, Professor or Research Professor will receive progress reports if a decision has not been made. Final decisions will be advised as soon as possible.

October or November  Special Advisory Committees chaired by the Vice-Chancellor meets to consider applications for promotion to Professor, Research Professor and Clinical Professor.
I4. WORKSHOPS

The Human Resources organises “How to Apply for Promotion” Workshop(s) to assist those staff considering applying for promotion. Workshops are scheduled for:

<table>
<thead>
<tr>
<th>DATE</th>
<th>TIME</th>
<th>VENUE</th>
<th>Target Audience*</th>
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<tbody>
<tr>
<td>Wednesday 14 March</td>
<td>1.00 to 1.50pm</td>
<td>Archway 3</td>
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<tr>
<td>Thursday 15 March</td>
<td>5.00 to 6.00pm</td>
<td>Barnett Lecture Theatre, Hospital</td>
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</tr>
<tr>
<td>Monday 19 March</td>
<td>1.00 to 1.50pm</td>
<td>Burns 7</td>
<td>Division of Humanities</td>
</tr>
<tr>
<td>Tuesday 27 March</td>
<td>5.00 to 6.00pm</td>
<td>Colquhoun Lecture Theatre</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Wednesday 11 April</td>
<td>5.00 to 6.00pm</td>
<td>Room 2.22, Commerce</td>
<td>Division of Commerce</td>
</tr>
<tr>
<td>Friday 30 March</td>
<td>12.30 to 1.30pm</td>
<td>Department of Psychological Medicine (Wellington School of Medicine) Seminar Room, J24, Level J of Academic Block</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Friday 30 March</td>
<td>4.30 to 5.30pm</td>
<td>Department of Psychological Medicine (Wellington School of Medicine) Seminar Room, J24, Level J of Academic Block</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Wednesday 4 April</td>
<td>12.15 to 1.15pm</td>
<td>Room 711, 7th Floor, Christchurch School of Medicine</td>
<td>Division of Health Sciences</td>
</tr>
<tr>
<td>Wednesday 4 April</td>
<td>2.45 to 3.45pm</td>
<td>Room 711, 7th Floor, Christchurch School of Medicine</td>
<td>Division of Health Sciences</td>
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</tbody>
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* Although each session is targeted at a particular division, anyone from any division may attend any workshop that suits them.

The Higher Education Development Centre (HEDC) and the Human Resources Division will jointly organise a lunch-time meeting for Heads of Academic Departments on April 3 2007 in Dunedin. This will encourage Heads of Department to reflect on their role in academic staff confirmation, promotion, progression and scholarship-development. Heads will receive invitations in due course, but those interested in booking their place should contact the HEDC Centre Administrator on 479 8492, or email: hedc@otago.ac.nz. Similar opportunities will be provided to Heads of Academic Departments at the northern campuses when HR runs promotion workshops there.

Human Resources and the Higher Education Development Centre (HEDC) hold briefing sessions for new Divisional Committee members. The Human Resources Division will contact all new Committee members soon after the nominations are approved and arrange a suitable time.
15. ROLE OF HUMAN RESOURCES DIVISION

**MARCH**

Human Resources:
- advises academic staff of the forthcoming promotion consideration
- advises the closing date for applications
- ensures that the documentation is available on the website and through Head of Department/Dean’s offices

**MARCH / APRIL**

Human Resources and the Higher Education Development Centre (HEDC):
- run “How to apply for Promotion Workshops”
- run a workshop for Heads of Department
- run a workshop for new Divisional Committee members

**JUNE**

Human Resources:
- circulates to Pro-Vice-Chancellors, Academic staff lists for the academic year, which include the status and salary of present staff
- forwards applications for consideration to Pro-Vice-Chancellors

**JULY**

Human Resources
- issues papers to Staffing Advisory Committee and observers for August Staffing Advisory Committee meeting

**AUGUST / SEPTEMBER**

Human Resources:
- requests external referees’ reports for those applicants for promotion to Associate Professor, Clinical Associate Professor, Research Associate Professor, Clinical Professor, Professor or Research Professor which Staffing Advisory Committee has recommended be taken to the next stage

**OCTOBER**

Human Resources:
- advises applicants of the outcome of the promotion decisions

**DECEMBER**

Human Resources:
- advises Payroll of decisions to be implemented with effect from the following 1 February
Criteria for Academic Staff Promotion:
Schedules

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SCHEDULE I

Additional Increments within the Lecturer and Senior Lecturer Scales (not applicable to Senior/Teaching Fellows)

It is the expectation that most lecturers and senior lecturers below the bar will progress at not more than one step each year.

To be granted an additional increment within the Lecturer/Senior Lecturer scale the staff member must demonstrate exceptional performance for a person at their particular point in the scale. In the Senior Lecturer scale the person is required to demonstrate sustained significant contribution above that normally expected at this level.

Additional increments should be very much the exception rather than the rule as it is expected that staff who meet the criteria for promotion to Senior Lecturer or Senior Lecturer above the bar will normally receive that promotion.

Inappropriately low placement in the Lecturer or Senior Lecturer scales at appointment will not be dealt with in the promotion round but on a case by case basis at the same time the apparent anomaly is identified. In such instances reconsideration will only be made on the recommendation of the Pro-Vice-Chancellor to the Deputy Vice-Chancellor (Academic and International).

Any recommendation for more than a two-step increment is to be referred to the Staffing Advisory Committee for approval as an exceptional case.

Note (for interpretation only): sustained significant contribution is interpreted as meaning that the Senior Lecturer concerned has performed at a level comparable with other Senior Lecturers in the same or similar disciplines who have progressed by use of the current Senior Lecturer progression criteria to a higher point in the scale than the Senior Lecturer for whom the additional increment is being sought. The Committee will need to be satisfied that the record of performance is such as to give reasonable confidence that it will be maintained or improved in quality following the promotion. If a staff member has reached a comparable level of performance and maintained this level of performance for a number of years, then performance will be deemed to be sustained.
SCHEDULE 2

Promotion from Lecturer to Senior Lecturer

2.1 GENERAL CRITERIA

Successful applicants will be appointed to step 1 of the Senior Lecturer Scale.

There are three primary criteria to be considered at this promotion. These are:

• teaching, assessment and curriculum development;
• research/scholarship/professional practice; and
• service to the University and the community.

A Lecturer who has demonstrated sustained competence in all three areas will be promoted to Senior Lecturer. Further, a Lecturer who has demonstrated sustained high competence in teaching, sustained competence in research, but who has not been able to demonstrate sustained competence in service activities may be promoted. Equally a Lecturer who has sustained competence in teaching, sustained high competence in research but who has not been able to demonstrate sustained competence in service activities, may be promoted.

2.2 SPECIFIC CRITERIA

2.2.1 Sustained competence in teaching, assessment and curriculum development

The criteria used in evaluating the teaching of a lecturer will take account of all aspects of the process of creating and sustaining an effective learning environment. Criteria considered may include:

a. contact teaching of all kinds;
b. distance teaching activities where relevant;
c. the assessment of student learning;
d. the design of sessions and materials;
e. collegiality within team teaching situations;
f. academic and pastoral contact with individual students;
g. remedial work;
h. the fostering and development of exceptional individual student talents;
i. convenorship and management activities;
j. course and programme design and construction;
k. development and implementation of quality assurance methods in teaching and assessment;
l. supervision of postgraduate work;
m. provision of course advice as a recognised and trained advisor;
n. the publication of a text-book within the applicant's discipline;
o. the design and implementation of innovation in assessment, curriculum or pedagogy;
p. research into teaching; and
q. contribution to the University's internationalisation goals, e.g., recruitment, support and effective teaching of international students.

Consideration should be given to the staff member’s application of their research to their teaching.

In assessing an applicant’s competence in teaching, assessment and curriculum development, promotions committees will recognise that an applicant may not be equally strong in all aspects of teaching, and will accordingly look for evidence of overall merit in this area. Evidence will be drawn from a wide range of sources, including, but not restricted to, documented self-report, student survey data, peer or mentor review of observed classes, external and independent peer or mentor review of course material and of contribution to team teaching situations, and external review of any teaching material submitted for such a purpose, or of accounts of evaluation and change exercises. Participation in teaching development activities, including mentoring relationships, workshops, award courses, seminars and conferences will be regarded positively. Further, in assessing an applicant’s competence under this criterion, committees will take into consideration known constraints on achievement such as class sizes, class structures, overall teaching load, distance from area of expertise, etc.
2.2.2 Sustained competence in research and/or professional practice and scholarship activities

This criterion will be met by evidence that the research and/or professional practice has a scholarly output relevant to the particular discipline. It should be noted that in this context professional practice is not simply performance as a practitioner but rather must be a sustained scholarly contribution to the advancement of knowledge within the profession/discipline. Emphasis will be given primarily to the quality or significance and not to the quantity of work done. Criteria considered may include:

**Outputs**

Quality-assured outputs which are associated with the advancement of:

a. knowledge and/or the advancement of artistic, technical or professional practice;

b. individual and/or group research which results in publication and dissemination in scholarly and professional journals, monographs, refereed electronic journals and other avenues of publication. It is expected that the results of such research are in the public arena;

c. applied and contract research resulting in scholarly advances in a field of knowledge. It is expected that the scholarly nature of such work can be independently verified;

d. significant creative contributions in the area;

e. instances of significant artistic, technical or professional performance; and

f. scholarly contributions to teaching, assessment and curriculum development, e.g., research into teaching and/or the publication of textbooks, scholarly articles or commentaries on various aspects of teaching.

**Peer Esteem**

a. research related prizes, awards, honours, fellowships;

b. continuing engagement in a scholarly field, evidence of which might include editorship, or editorial board membership, of journals and other publications, and key-note roles in conferences or meetings;

c. ability to attract graduate students or to sponsor students into higher-level research qualifications, positions or opportunities because of his or her research reputation; and

d. research-related citations and favourable review.

**Contributions to the Research Environment**

a. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;

b. continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as refereeing, leadership roles within conferences, preparation of position papers or responses on behalf of scholarly associations, roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries, etc;

c. continuing engagement in a professional, technical or artistic field. Evidence here will often be based on practical consultancy activity where there is a demonstrated application to the areas of teaching and/or research, but may appropriately include such activities of dissemination to other members in the professional, technical or artistic field as editorship, refereeing, key-note roles in conferences or meetings, preparation of position papers or responses on behalf of professional, technical or artistic associations, roles on government or industry commissions, etc;

d. contribution to the University’s internationalisation goals, e.g., international collaborations in research, professional practice and scholarly activities; and

e. service to external academic and professional activities that contribute to the research environment.
2.2.3 Sustained competence in service to the University and the community and demonstration of collegiality within the Department/School

This criterion will be met by evidence of a contribution to University planning and/or governance, service to the relevant profession and/or academic discipline and/or relevant contributions to the wider community. Under this criterion, consideration will be given not only to committee work within the Department/School/Faculty/Division and the University, but also to activities such as:

a. policy-making;
b. demonstrating and fostering collegiality within the Department/School;
c. engagement in review and/or quality assurance activities;
d. engagement in equity activities, recruitment, advertising and public relations;
e. contributions to planning and/or governance via union work;
f. at appropriate levels, the holding of management positions within the Department, Division or the University. Where an applicant has creditably performed administrative work which is normally assigned to a higher level position, this will constitute evidence of high competence on this criterion;
g. contribution to Maori development within the University Community;
h. contribution to the development of Maori Strategic framework;
i. provision of academic and professional service and advice to the community;
j. service to external academic and professional activities;
k. contribution to continuing education, community debate and community development in the staff member’s academic field;
l. provision of access to, participation in and development of culture and/or science;
m. involvement in the appraisal of community service needs;
n. contribution to University links supporting providers of community service; and
o. development and implementation of health and safety measures in teaching and research.

**NOTE**

Sustained Competence is interpreted as meaning that the employee’s performance and achievements are at least comparable in terms of quantity and quality to other Lecturers in that discipline who have progressed by normal annual increment through the Lecturers scale to LG07 and who by satisfactory performance meet the criteria for promotion. If a staff member has reached a comparable level of performance and maintained this level of performance for a number of years, then performance will be deemed to be sustained.
SCHEDULE 3

Promotion to and within the Senior Lecturer (Non-Medical/Dental) range beyond the bar

3.1 GENERAL CRITERIA

Successful applicants to the range beyond the bar will be appointed to step 1 of the scale

This is a significant promotion and is regarded as being beyond the normal career grade. Promotion across the bar does not preclude subsequent promotion to the rank of Associate Professor, nor is promotion beyond the bar an essential prerequisite to promotion to Associate Professor.

To qualify for promotion beyond the bar in the Senior Lecturer (Non-Medical/Dental) scale the Senior Lecturer must demonstrate sustained high competence in the three areas of teaching, assessment and curriculum development; research and/or professional practice; and service. Further, a Senior Lecturer who has demonstrated sustained high competence in one of the criteria, sustained outstanding competence in another, and sustained competence in the third may be promoted beyond the bar.

Promotion within the range will require the demonstration of a sustained significant contribution above the level required to achieve the promotion in the first place. The staff member should be able to demonstrate that they are progressing towards meeting the requirements for promotion to Associate Professor. Movement within the range above the bar is a single step increment only; there is no provision for additional increments.

3.2 SPECIFIC CRITERIA

3.2.1 Sustained high competence in teaching, assessment and curriculum development.

In assessing this, promotion committees will look for ability to inspire high academic endeavour and for original thought with respect to teaching. Promotion committees will also take into account high competence in one or more of:

a. sustained record of fostering the full development of individual student talent;
b. leadership in teaching, assessment and curriculum development within the Department / School;
c. sustained attraction and successful supervision of research students;
d. development of significant innovations and/or publications in curricula, teaching procedures and teaching materials;
e. high level knowledge and understanding of developments in the methodology and theory of teaching, assessment and curriculum development at the tertiary level;
f. development and utilisation of a suitable range of assessment methods used to serve diagnostic, formative and summative purposes;
g. mentoring of colleagues;
h. development and implementation of quality assurance applied to teaching, assessment and curriculum development within the Department / School;
i. evidence of recognition outside the Division and the University as an outstanding teacher;
j. evidence of research, development, innovation and publication in teaching, assessment and curriculum development;
k. a sustained record of provision of course advice as a recognised and trained advisor; and
l. contribution to the University's internationalisation goals, e.g., recruitment, support and effective teaching of international students.

Consideration should be given to the staff member's application of their research to their teaching.
3.2.2 Sustained high competence in research and/or professional practice and scholarly activities

This criterion will be met by evidence that the research and/or professional practice has a scholarly output relevant to the particular discipline. It should be noted that in this context professional practice is not simply performance as a practitioner but rather must be a sustained scholarly contribution to the advancement of knowledge within the profession/discipline. Emphasis will be given primarily to the quality or significance and not to the quantity of work done. Promotion committees will take into account achievements in one or more of the following:

**Outputs**
Quality-assured outputs which are associated with the advancement of:

a. knowledge and/or the advancement of artistic, technical or professional practice;
b. individual and/or group research which results in publication and dissemination in scholarly and professional journals, monographs, refereed electronic journals and other avenues of publication. It is expected that the results of such research are in the public arena;
c. applied and contract research resulting in scholarly advances in a field of knowledge. It is expected that the scholarly nature of such work can be independently verified;
d. continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as editorship, or editorial board membership, of journals and other publications, refereeing, leadership roles within conferences, preparation of position papers or responses on behalf of scholarly associations, roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries, etc.;
e. significant creative contributions in the area;
"f. instances of significant artistic, technical or professional performance; and
"g. continuing engagement in a professional, technical or artistic field. Evidence here will often be based on practical consultancy activity where there is a demonstrated application to the areas of teaching and/or research, but may appropriately include activities of dissemination to other members in the professional, technical or artistic field such as editorship, refereeing, key-note roles in conferences or meetings, preparation of position papers or responses on behalf of professional, technical or artistic associations, roles on government or industry commissions, etc.

**Peer Esteem**
a. research related prizes, awards, honours, fellowships;
b. continuing engagement in a scholarly field, evidence of which might include editorship, or editorial board membership, of journals and other publications, and key-note roles in conferences or meetings;
c. ability to attract graduate students or to sponsor students into higher-level research qualifications, positions or opportunities because of his or her research reputation; and
"d. research-related citations and favourable review.

**Contributions to the Research Environment**
a. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
b. continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as refereeing, leadership roles within conferences, preparation of position papers or responses on behalf of scholarly associations, roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries, etc;
c. continuing engagement in a professional, technical or artistic field. Evidence here will often be based on practical consultancy activity where there is a demonstrated application to the areas of teaching and/or research, but may appropriately include such activities of dissemination to other members in the professional, technical or artistic field as editorship, refereeing, key-note roles in conferences or meetings, preparation of position papers or responses on behalf of professional, technical or artistic associations, roles on government or industry commissions, etc;
d. contribution to the University’s internationalisation goals, e.g., international collaborations in research, professional practice and scholarly activities; and
"e. service to external academic and professional activities that contribute to the research environment.
3.2.3 Sustained high competence in service to the University and the community and demonstration of collegiality within the Department/School.

In assessing this, promotion committees will require evidence of a contribution of significance and distinction that is recognised as such throughout the University. Promotion committees will mainly be concerned with service that makes a sustained contribution to helping the University achieve its academic goals. This may include managerial or representative roles inside or outside the University. Such service may, in some cases, include demonstration of high competence in:

a. policy-making and management within the University and/or the community;
b. demonstrating and fostering collegiality within the Department/School;
c. review and/or quality assurance activities;
d. advising governments and public enquiries, and serve on commissions of enquiry;
e. successful communication of the benefits of research and scholarship to the non-specialised public;
f. contribution to Māori development within the University Community;
g. contribution to the development of Māori Strategic framework;
h. the provision of academic and professional service and advice to the community;
i. service to external academic and professional activities;
j. contributing to continuing education, community debate and community development in the staff member’s academic field;
k. the provision of access to, participation in and development of culture and/or science;
l. the appraisal of community service needs;
m. contributing to University links supporting providers of community service; and
n. development and implementation of health and safety measures in teaching and research.

**Note (for interpretation only):** *Sustained* is judged by comparison of the applicant’s performance and achievement with others in the same or similar disciplines who have previously been promoted to the higher level by use of the criteria and whose performance at that higher level has also been satisfactory. The Committee will need to be satisfied that the record of performance is such as to give reasonable confidence that it will be maintained or improved following the promotion. If a staff member has reached a comparable level of performance and maintained this level of performance for a number of years, then performance will be deemed to be sustained.
SCHEDULE 4

Promotion to Senior Lecturer (Medical and Dental) beyond the bar

4.1 GENERAL CRITERIA

This is a significant promotion and is regarded as being beyond the normal career grade. Promotion across the bar does not preclude subsequent promotion to the rank of Associate Professor, nor is promotion beyond the bar an essential prerequisite to promotion to Associate Professor.

To qualify for promotion beyond the bar in the Senior Lecturer (Medical and Dental) scale, a Senior Lecturer must demonstrate sustained high competence in the three areas of teaching, assessment and curriculum development; research and/or professional practice and scholarly activities; and service, except that a Senior Lecturer who has demonstrated sustained high competence in one of the criteria, sustained outstanding competence in another, and sustained competence in the third may be promoted beyond the bar.

A full-time Senior Lecturer without substantial clinical duties will have demonstrated sustained high competence in research and scholarly activities (see 4.2.2 below), whereas part-time Senior Lecturers and full-time Senior Lecturers with substantial clinical duties (e.g. joint clinical medical post; some School of Dentistry staff) will have demonstrated sustained high competence in professional practice and scholarly activities (see 4.2.3 below).

4.2 SPECIFIC CRITERIA

4.2.1 Sustained high competence in teaching, assessment and curriculum development

In assessing this, promotion committees will look for ability to inspire high academic endeavour and for original thought with respect to teaching. Promotion committees will also take into account high competence in one or more of:

a. sustained record of fostering the full development of individual student talent;
b. leadership in teaching, assessment and curriculum development;
c. sustained attraction and successful supervision of research students;
d. development of significant innovations and/or publications in curricula, teaching procedures and teaching materials;
e. high level knowledge and understanding of developments in the methodology and theory of teaching, assessment and curriculum development at the tertiary level;
f. development and utilisation of a suitable range of assessment methods used to serve diagnostic, formative and summative purposes;
g. mentoring of colleagues;
h. development and implementation of quality assurance applied to teaching, assessment and curriculum development;
i. evidence of recognition outside the Division and the University as an outstanding teacher;
j. evidence of research, development, innovation and publication in teaching, assessment and curriculum development;
k. a sustained record of provision of course advice as a recognised and trained advisor; and
l. contribution to the University’s internationalisation goals, e.g., recruitment, support and effective teaching of international students.

Consideration should be given to the staff member’s application of their research to their teaching.
4.2.2 **Sustained high competence in research and scholarly activities**

This criterion will be met by evidence that the research and/or professional practice has a scholarly output relevant to the particular discipline. Emphasis will be given primarily to the quality or significance and not to the quantity of work done. Promotion committees will take into account achievements in one or more of the following:

**Outputs**
Quality-assured outputs which are associated with the advancement of:

a. knowledge and/or the advancement of artistic, technical or professional practice;

b. individual and/or group research which results in publication and dissemination in scholarly and professional journals, monographs, refereed electronic journals and other avenues of publication. It is expected that the results of such research are in the public arena;

c. applied and contract research resulting in scholarly advances in a field of knowledge. It is expected that the scholarly nature of such work can be independently verified;

d. continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as editorship, or editorial board membership, of journals and other publications, refereeing, leadership roles within conferences, preparation of position papers or responses on behalf of scholarly associations, roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries, etc.;

e. significant creative contributions in the area;

f. instances of significant artistic, technical or professional performance;

g. continuing engagement in a professional, technical or artistic field. Evidence here will often be based on practical consultancy activity where there is a demonstrated application to the areas of teaching and/or research, but may appropriately include activities of dissemination to other members in the professional, technical or artistic field such as editorship, refereeing, key-note roles in conferences or meetings, preparation of position papers or responses on behalf of professional, technical or artistic associations, roles on government or industry commissions, etc.; and

h. contribution to the University’s internationalisation goals, e.g., international collaborations in research, professional practice and scholarly activities.

**Peer Esteem**

a. research related prizes, awards, honours, fellowships;

b. continuing engagement in a scholarly field, evidence of which might include editorship, or editorial board membership, of journals and other publications, and key-note roles in conferences or meetings;

c. ability to attract graduate students or to sponsor students into higher-level research qualifications, positions or opportunities because of his or her research reputation; and

d. research-related citations and favourable review.

**Contributions to the Research Environment**

a. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;

b. continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as refereeing, leadership roles within conferences, preparation of position papers or responses on behalf of scholarly associations, roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries, etc;

c. continuing engagement in a professional field. Evidence here will often be based on practical consultancy activity where there is a demonstrated application to the areas of teaching and/or research, but may appropriately include such activities of dissemination to other members in the professional field as editorship, refereeing, key-note roles in conferences or meetings, preparation of position papers or responses on behalf of professional, roles on government or industry commissions, etc;

d. contribution to the University’s internationalisation goals, e.g., international collaborations in research, professional practice and scholarly activities; and

e. service to external academic and professional activities that contribute to the research environment.
4.2.3 Sustained high competence in professional practice and scholarly activities

Achievement of this criterion will require evidence that the Senior Lecturer has maintained levels of scholarship and involvement in research although they may not have published extensively. It should be noted that in this context professional practice is not simply performance as a practitioner but rather must be a sustained scholarly contribution to the advancement of knowledge within the profession/discipline. Promotion committees will take into account achievements in each of the following:

a. performance in the practice of their profession, with evidence of leadership in technical developments and in professional organisations relating to this practice;
b. evidence of active participation in the research programme of the department, including involvement in research projects, active participation in departmental research meetings and joint authorship of research publications;
c. evidence of awareness of research developments in the staff member’s own field as shown by publication of review articles or presentation of such material at academic meetings; and
d. evidence of assistance to other academic staff in the development of their own research programmes, through discussions during research development, review of grant applications and papers submitted for publication.

4.2.4 Sustained high competence in service to the University and the community and demonstration of collegiality within the Department/School

In assessing this, promotion committees will require evidence of a contribution of significance and distinction that is recognised as such throughout the University. Promotion committees will mainly be concerned with service that makes a sustained contribution to helping the University achieve its academic goals. This may include managerial or representative roles inside or outside the University. Such service may, in some cases, include demonstration of high competence in:

a. policy-making and management within the University and/or the community;
b. demonstrating and fostering collegiality within the Department/School;
c. review and/or quality assurance activities;
d. advising governments and public enquiries, and serve on commissions of enquiry;
e. successful communication of the benefits of research and scholarship to the non-specialised public;
f. contribution to Māori development within the University Community;
g. contribution to the development of Māori Strategic framework;
h. the provision of academic and professional service and advice to the community;
i. service to external academic and professional activities;
j. contributing to continuing education, community debate and community development in the staff member’s academic field;
k. the provision of access to, participation in and development of culture and/or science;
l. the appraisal of community service needs;
m. contributing to University links supporting providers of community service; and
n. development and implementation of health and safety measures in teaching and research.

**Note (for interpretation only):** Sustained is measured by comparison of the applicant’s performance and achievement with others in the same or similar disciplines who have previously been promoted to the higher level by use of the criteria and whose performance at that higher level has also been satisfactory. The Committee will need to be satisfied that the record of performance is such as to give reasonable confidence that it will be maintained or improved following the promotion. If a staff member has reached a comparable level of performance and maintained this level of performance for a number of years, then performance will be deemed to be sustained.
SCHEDULE 5

Promotion to Associate Professor and Clinical Associate Professor

5.1 GENERAL CRITERIA

Successful applicants will be appointed to step 1 of the Associate Professor Scale

Sustained high competence in the advancement of knowledge is a necessary prerequisite for promotion at this level. To be recommended for promotion to Associate Professor applicants shall be required to show evidence of sustained outstanding competence in two or more of the three main functions of academic staff – teaching, assessment and curriculum development; advancement of knowledge and/or professional practice; and service to the University and the community. For the third criterion the staff member must be able to demonstrate sustained high competence. For each of the criteria performance must be markedly and consistently superior to that expected of a member of staff who has reached the top of the Senior Lecturer scale.

For Joint Clinical Staff (JCS) clinical service is recognised in individual employment contracts. The contribution the JCS staff member makes in terms of scholarship and professional leadership in their clinical field will be taken into account.

5.2 SPECIFIC CRITERIA

5.2.1 Sustained outstanding competence in teaching, assessment and curriculum development.

In assessing this, the University will look for outstanding ability to inspire high academic endeavour and for original thought with respect to teaching. The University will also take into account achievements in one or more of:

a. sustained record of fostering the full development of individual student talent;
b. leadership in teaching and course design terms;
c. sustained attraction and successful supervision of research students;
d. development of significant innovations and/or publications in curricula, teaching procedures and teaching and/or assessment materials;
e. high level knowledge and understanding of developments in the methodology and theory of teaching and learning at the tertiary level;
f. leadership in the development of methods of quality assurance in teaching, assessment and curriculum development;
g. mentoring of colleagues;
h. evidence of recognition outside the Division and the University as an outstanding teacher;
i. sustained provision of course advice as a recognised and trained advisor; and
j. contribution to the University’s internationalisation goals, e.g., recruitment, support and effective teaching of international students.

Consideration should be given to the staff member’s application of their research to their teaching.
5.2.2 Sustained outstanding competence in the advancement of knowledge and/or professional practice

5.2.2.1 Advancement of knowledge
In assessing competence in the advancement of knowledge the University will look for outstanding merit in prosecution of research and scholarship. In assessing such work, the University will look for evidence of one or more of:

Outputs
a. significant contribution to the advancement of an applicant’s specialised field of research; and
b. original contribution to interdisciplinary research projects.

Peer Esteem
a. research related prizes, awards, honours, fellowships;
b. continuing engagement in a scholarly field, evidence of which might include editorship, or editorial board membership, of journals and other publications, and key-note roles in conferences or meetings;
c. ability to attract graduate students or to sponsor students into higher-level research qualifications, positions or opportunities because of his or her research reputation; and

d. research-related citations and favourable review.

Contributions to the Research Environment
a. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
b. continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as refereeing, leadership roles within conferences, preparation of position papers or responses on behalf of scholarly associations, roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries, etc;
b. the development of new insights by the application of existing or new knowledge to the problems of society;
c. evidence of recognition of outstanding competence in scholarship;
d. leadership in the development of methods of quality assurance in research and/or postgraduate supervision;
e. contribution to the University’s internationalisation goals e.g. international collaborations in research, professional practice and scholarly activities;
f. an international standing in the advancement of knowledge and/or professional practice, and

g. service to external academic and professional activities that contribute to the research environment.

5.2.2.2 Professional practice.
In considering an applicant’s work under this criterion, evidence of his or her professional standing among teachers, scholars and colleagues in the same field will be relevant. It should be noted that in this context professional practice is not simply performance as a practitioner but rather must be a sustained scholarly contribution to the advancement of knowledge within the profession/discipline.

1. In assessing competence in professional practice the University will look for high level continuing engagement in a relevant scholarly field, evidence of which might include activities of dissemination to other members in the field such as:

   a. editorship, or editorial board membership, of journals and other publications;
b. refereeing;
c. leadership roles within conferences;
d. preparation of position papers or responses on behalf of scholarly associations;
e. roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries; and
f. achievements in communicating the results of the applicant’s scholarly field to wide audiences of non-experts.

2. The University will also, or alternatively, consider creative contributions in the relevant area, which might include instances of artistic, technical or professional performance or continuing engagement in a professional, technical or artistic field. Such engagement might include sustained and prestigious involvement in exhibitions or performances. Evidence that such contributions demonstrate significant advances within the relevant field would be required. The University will expect to be supplied with examples of critiques by acknowledged experts in the field. Evidence of such recognition might also include success in prestigious awards.
5.2.3 Sustained outstanding competence in service to the University and the community and demonstration of collegiality within the Department / School.

In assessing this, the University will require evidence of a contribution of great significance and distinction that is recognised as such throughout the University. The University will mainly be concerned with service that makes a sustained significant contribution to helping the University achieve its academic goals. This may include significant managerial or representative roles inside or outside the University. Such service may, in some cases, include demonstrated outstanding competence in:

a. policy-making and management within the University and/or the community;
b. advising governments and public enquiries, and service committees of enquiry;
c. successful communication of the benefits of research and scholarship to the non-specialised public;
d. the provision of academic and professional service and advice to the community;
e. demonstrating collegiality within the Department/School;
f. fostering collegiality among staff members of the Department/School;
g. contribution to Māori development within the University Community;
h. contribution to the development of Māori Strategic framework;
i. service to external academic and professional activities;
j. contributing to continuing education, community debate and community development in the staff member’s academic field;
k. the provision of access to, participation in and development of culture and science;
l. the appraisal of community service needs;
m. contributing to University links supporting providers of community service; and
n. development and implementation of health and safety measures in teaching and research.

Promotion to Clinical Associate Professor

A person being considered for promotion to Clinical Associate Professor in the university will be a clinical teacher whose academic and professional eminence are such that were they a member of the permanent university academic staff they would be likely to be appointed at, or promoted to, associate professor level. Applicants for Clinical Associate Professor would normally be expected to have a University commitment of 0.1 EFT or greater with a minimum teaching load of one half day per week required before the application will be accepted. Special cases may be considered from time to time and should be discussed with the Deputy Vice-Chancellor (Academic and International) in confidence.

Normal University promotion procedures and criteria for Associate Professors will apply.
6. GENERAL CRITERIA

Successful applicants will be appointed to step 1 of the Professor Scale

In making an application for promotion to Professor, an applicant should demonstrate sustained outstanding leadership and sustained outstanding competence in relation to at least two of the following criteria and sustained high competence in the third:

- Leadership in teaching, assessment and curriculum development;
- Leadership in research and/or professional practice;
- Leadership in service both to the University and the external community.

The important criteria to be established in addition to performance beyond the level expected of an Associate Professor is that of leadership.

Where it is considered that there is a prima facie case for promotion the University will establish an advisory committee to consider the case. The Committee will seek external referees' reports to assist in assessing the applicant's merit. The applicant may nominate the external referees but the University reserves the right to approach any or all of them plus other referees of the University's choice.

6.2 SPECIFIC CRITERIA

6.2.1 Sustained outstanding competence and sustained outstanding leadership in teaching, assessment and curriculum development.

In assessing sustained outstanding competence and sustained outstanding leadership in teaching, assessment and curriculum development, the University will look for exceptional ability to inspire high academic endeavour and for original thought with respect to teaching. In assessing evidence of sustained outstanding competence the University will consider the applicant’s claims against some or all of the following (applicants may add further examples of sustained outstanding competence as appropriate):

a. leadership in the development of effective means within the control of the teacher to improve student learning;
b. development of an improved existing, or development of a high quality new, area or programme;
c. improvement of curricula or of teaching methods;
d. distinctive performance in the successful supervision of research students;
e. introduction of significantly improved and innovative assessment practices;
f. leadership in the development and implementation of methods of quality assurance in teaching, assessment and curriculum development;
g. conduct of high quality evaluations of curricula, and teaching and assessment practices;
h. professional contribution related to teaching both inside and outside the University;
i. academic awards or distinctions for teaching, including honorary degrees and prizes;
j. playing a leadership role in the professional development of others, such as acting as a mentor;
k. significant contributions to literature on teaching;
l. securing teaching grants;
m. consultancies on teaching;
n. editorship and refereeing in regard to teaching publications;
o. the recognition achieved by previous or current students in teaching, research, professional and other communities;
p. evidence of a leadership role in professional teaching development activities, such as coordinating and leading seminars, workshops etc.;
q. invitations to visit at a senior level in other tertiary institutions or government agencies, invitations to undertake professional advisory work, invited public lectures or invitations to give keynote addresses; and
r. sustained provision of course advice as a recognised and trained advisor.

Consideration should be given to the staff member’s application of their research to their teaching.
6.2.2 Sustained outstanding competence and sustained outstanding leadership in research and/or professional practice.

6.2.2.1 Research
In assessing sustained outstanding competence in research the University will look for exceptional ability and original thought in pursuit of research. In assessing evidence of sustained outstanding competence, the Committee will consider the applicant’s claims against some or all of the following (applicants may add further examples of sustained outstanding competence as appropriate):

**Outputs**

a. evidence of outstanding contributions in basic and/or strategic and/or applied research; and
b. evidence of outstanding achievement arising from research grants.

**Peer Esteem**

a. research related prizes, awards, honours, fellowships;
b. continuing engagement in a scholarly field, evidence of which might include editorship, or editorial board membership, of journals and other publications, and key-note roles in conferences or meetings;
c. ability to attract graduate students or to sponsor students into higher-level research qualifications, positions or opportunities because of his or her research reputation; and
d. research-related citations and favourable review.

**Contributions to the Research Environment**

a. sustained attraction and successful supervision of research students;
b. leadership in the generation of collaborative research programmes within the University and/or with external bodies such as industry and other tertiary institutions;
c. academic awards or distinctions, including honorary degrees and prizes;
d. design and implementation of research programmes;
e. leadership in the development and implementation of methods of quality assurance in research;
f. an international reputation for research findings;
g. contribution to the relevant research communities;
h. originality in applied work, such as development of new techniques or improvement of established techniques which have been accepted in the research community;
i. publication of books and articles in journals and through publishing houses of high national/international standing, and citations of these in the research literature;
j. editorship and refereeing in regard to research publications;
k. publication of reports commissioned by government agencies and international organisations;
l. successful application for patents and licences based on original research;
m. a record of effective contribution to the development of a discipline in the wider community;
n. invitations to visit at a senior level in other tertiary institutions or government agencies, invitations to undertake professional advisory work, invited public lectures or invitations to give keynote addresses; and
q. contribution to the University’s internationalisation goals, e.g., international collaborations in research, professional practice and scholarly activities.
6.2.2.2 Professional practice
In assessing sustained outstanding competence in Professional Practice the University will look for exceptional
ability and original thought in professional practice. It should be noted that in this context professional practice is
not simply performance as a practitioner but rather must be a sustained scholarly contribution to the advancement
of knowledge within the profession/discipline. In assessing evidence of professional practice, the University will
consider the applicant’s claims against some or all of the following (applicants may add further examples of
sustained outstanding competence and leadership as appropriate):

a. original designs, such as the production of prototypes, creative or original work in art, literary works and
   music;
b. commissioned work and outcomes of the work;
c. dissemination of professional practice to other members in the field through activities such as editorship or
   editorial board membership;
d. involvement in the solution of practical problems experienced by industry, government and professional or
   the research community;
e. influence in the development of a profession;
f. leadership role in professional/learned societies;
g. professional peer recognition of significant competence in contributions to the work of a profession at a
   national or international level;
h. professional consultancies where there is scholarly output;
i. leadership role in quality assurance methods;
j. membership of government and/or industry and/or professional advisory bodies;
k. membership of international delegations in the area of expertise;
l. professional awards or citations; and
m. an international standing in the advancement of knowledge and/or professional practice.
6.2.3 Sustained outstanding competence and sustained outstanding leadership in service both to the University and external community and demonstration of collegiality within the Department/School.

In assessing sustained outstanding competence and sustained outstanding leadership in service, the University will look for evidence of a contribution of great significance and distinction that is recognised as such throughout the University and outside the University. In assessing evidence of service the University will consider the applicant’s claims against some or all of the following (applicants may add further examples of sustained outstanding competence and sustained outstanding leadership as appropriate):

a. a leadership and management role in a substantial unit which contributes to the University’s goals;
b. successful communication of scholarship to the non-specialised public;
c. a leadership role in the development of a field of study in the wider community and contribution to public debates on issues of importance in the community;
d. demonstrating collegiality within the Department/School;
e. demonstrating leadership in the fostering of collegiality among the staff members of the Department/School;
f. substantial administrative competence which has benefited the University. Note: membership of administrative committees and/or the holding of administrative appointments is not sufficient without evidence of leadership and important achievements;
g. contribution to Māori development within the University Community;
h. contribution to the development of Māori Strategic framework;
i. membership of government and/or industry advisory bodies;
j. professional leadership achieved by the development of close and continuing associations with industry, commerce, government or the community generally; and
k. provision of leadership in the development and implementation of health and safety measures in teaching and research.

Promotion to Clinical Professor

This title will be reserved for clinical teachers who have a distinguished record of competence and leadership in research, scholarship and professional practice, such that if a Chair in the University in that person’s discipline were vacant, the University would be pleased to invite that person to accept the appointment. Applicants for Clinical Professor would normally be expected to have a University commitment of 0.1 EFT or greater with a minimum teaching load of one half day per week required before the application will be accepted. Special cases may be considered from time to time and should be discussed with the Deputy Vice-Chancellor (Academic and International) in confidence.

Proposals for promotion to Clinical Professor will be considered by an advisory committee established by the University for that purpose, and normally at the time that promotions to Professors in the University are being considered.
SCHEDULE 7

Promotion from Teaching Fellow to Teaching Fellow Above the Bar

7.1 GENERAL CRITERIA

Successful applicants will be appointed to step 5 of the Teaching Fellow Scale

There are two primary criteria to be considered at this promotion. These are:
- teaching, assessment and curriculum development
- service to the University

A teaching fellow who has demonstrated sustained competence in teaching, assessment and curriculum development and competence in service to the University will be promoted to Teaching Fellow Above the Bar.

7.2 SPECIFIC CRITERIA

7.2.1 Sustained competence in teaching, assessment and curriculum development

The criteria used in evaluating the teaching of a teaching fellow will take account of all aspects of the process of creating and sustaining an effective learning environment. This will include:

a. substantial contact teaching appropriate to the position held;
b. distance teaching activities where relevant;
c. the assessment of student learning;
d. the design of sessions and materials;
e. collegiality within team teaching situations;
f. academic and pastoral contact with individual students;
g. remedial work with students;
h. the fostering and development of exceptional individual student talents;
i. convenorship and management activities;
j. course and programme design and construction;
k. development and implementation of quality assurance methods in teaching and assessment; and
l. provision of course advice as a recognised and trained advisor.

It may also include such contributions as:
- the publication of a text-book within the applicant’s discipline;
- the design and implementation of innovation in assessment, curriculum or pedagogy;
- research into teaching; and
- the contribution of scholarly articles or commentaries on various aspects of teaching.

In assessing an applicant’s competence in teaching, assessment and curriculum development, promotions committees will recognise that an applicant may not be equally strong in all aspects of teaching, and will accordingly look for evidence of overall merit in this area. Evidence will be drawn from a wide range of sources, including, but not restricted to, documented self-report, student survey data, peer or mentor review of observed classes, external and independent peer or mentor review of course material and of contribution to team teaching situations, and external review of any teaching material submitted for such a purpose, or of accounts of evaluation and change exercises. Participation in teaching development activities, including mentoring relationships, workshops, award courses, seminars and conferences will be regarded positively. Further, in assessing an applicant’s competence under this criterion, committees will take into consideration known constraints on achievement such as class sizes, class structures, overall teaching load, distance from area of expertise, etc.
7.2.2 Competence in service to the University

This criterion will be met by evidence of a contribution to departmental planning.

**Note (for interpretation only):** *sustained* is interpreted as meaning that the Teaching Fellow has been performing and is likely to continue to perform, at the same level as a Teaching fellow Above the Bar who has previously been promoted using the above criteria. There is no time limit and it is a matter of judgement as to when this comparability has been achieved and demonstrated sufficiently to satisfy the Committee that it will be maintained or improved in the future. If a staff member has reached a comparable level of performance and maintained this level of performance for a number of years, then performance will be deemed to be sustained.
SCHEDULE 8

Promotion of Senior Teaching Fellows beyond the third step on the Lecturer scale.

(NB: Movement under this schedule is a single step increment only)

8.1 GENERAL CRITERIA

Progression beyond the third step on the Lecturer scale is considered to be significant. To qualify, a Senior Teaching Fellow must demonstrate sustained high competence in teaching, assessment and curriculum development and sustained competence in service to the University. Further progression will require the demonstration of a sustained significant contribution above the level required to achieve the progression to the Senior Teaching Fellow’s current salary step.

8.2 SPECIFIC CRITERIA

8.2.1 Sustained high competence in teaching, assessment and curriculum development.

In assessing this, the Pro-Vice-Chancellor will look for ability to inspire high academic endeavour and for original thought with respect to teaching. The Pro-Vice-Chancellor will also take into account sustained high competence in one or more of the following with progression to higher levels requiring a contribution in a larger number of areas:

- a. sustained record of fostering the full development of individual student talent;
- b. leadership in teaching, assessment and curriculum development;
- c. development of significant innovations and/or publications in curricula, teaching procedures and teaching materials;
- d. high level knowledge and understanding of developments in the methodology and theory of teaching, assessment and curriculum development at the tertiary level;
- e. development and utilisation of a suitable range of assessment methods used to serve diagnostic, formative and summative purposes;
- f. mentoring of colleagues;
- g. development and implementation of quality assurance applied to teaching, assessment and curriculum development;
- h. evidence of recognition outside the Division and the University as an outstanding teacher; and
- i. provision of course advice as a recognised and trained advisor.

8.2.2 Sustained competence in service to the University.

In assessing this, the Pro-Vice-Chancellor will require evidence of a contribution of significance and distinction that is recognised as such throughout the Division. The Pro-Vice-Chancellor will mainly be concerned with service that makes a sustained contribution to helping the University achieve its academic goals. This may include managerial or representative roles inside or outside the University. Such service may, in some cases, include demonstration of competence in:

- a. policy-making and management within the University;
- b. review and/or quality assurance activities;
- c. professional activities;
- d. contributing to continuing education in the staff member’s academic field;
- e. the provision of access to, participation in and development of culture and/or science;
- f. contribution to Māori development within the University Community;
- g. contribution to the development of Māori Strategic framework; and
- h. development and implementation of health and safety measures in teaching.

NOTE

Note (for interpretation only): sustained is interpreted by comparison of the senior teaching fellow’s performance and achievement with other Senior Teaching Fellows in the same or similar disciplines who have previously been promoted to the higher level being sought in the scale by use of the criteria and whose performance at that higher level has also been satisfactory. The Committee will need to be satisfied that the record of performance is such as to give reasonable confidence that it will be maintained or improved following the promotion. If a staff member has reached a comparable level of performance and maintained this level of performance for a number of years, then performance will be deemed to be sustained.
SCHEDULE 9

Promotion from Assistant Research Fellow below the bar to Assistant Research Fellow beyond the bar, (Non-Medical/Dental Scale)

Successful applicants will be appointed to step 7 of the Assistant Research Fellow Scale

PREAMBLE

Definition for appointment to Assistant Research Fellow below the Bar

This scale applies to research positions which require graduate level skills and for those embarking on a research career. Such positions will typically have some or all of the following features, although the appointee may be expected to develop into the role - a significant degree of independence and initiative in their work; responsibility for co-ordinating the involvement of others in a project; participation in the analysis of results; and involvement in drafting of papers for publication.

Promotion to Assistant Research Fellow beyond the Bar

Assistant Research Fellows promoted to this level must have demonstrated the skills and abilities necessary to succeed in a career in research. They will have most or all of the following attributes:

• A relevant research qualification (normally expected);
• A significant degree of independence and initiative in their work;
• Contributions to the development of research grant applications;
• Organisational contributions in a research team;
• Published original work (or other forms of dissemination e.g. conferences, seminars); and
• Substantial non-authorship contribution to published original work.

They will have also demonstrated collegiality within the Research Team/Department.
SCHEDULE 10

Promotion from Assistant Research Fellow beyond the bar to Research Fellow
(Non-Medical/Dental Scale)

Successful applicants will be appointed to step 1 of the Lecturer Scale

10.1 PROMOTION TO RESEARCH FELLOW

A Research Fellow usually has a PhD or other relevant research qualification, a record of ongoing publication of research in peer reviewed outlets including some as primary author, and evidence of successful planning, supervision and conducting of research.

10.2 SPECIFIC CRITERIA

10.2.1 Sustained competence in research and/or professional activities and scholarship activities

Promotion to Research Fellow will require evidence of one or more of:

a. research resulting in scholarly advances in a field of knowledge. It is expected that the scholarly nature of such work can be independently verified;

b. activity which is associated with the advancement of technical or professional activities;

c. individual and/or group research which results in publication and dissemination in scholarly outlets (such as professional journals, monographs, refereed conference proceedings and intellectual property). It is expected that the results of such research are in the public arena;

d. success in attracting research funding as a Principal or Co-Principal investigator;

e. continuing engagement in a scholarly or technical field, evidence of which might include activities of dissemination to other members in the field such as editorship, or editorial board membership, of journals and other publications, refereeing, leadership roles within conferences, consultancy activity, preparation of position papers or responses on behalf of scholarly associations, roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries, etc; and

f. contribution to the University’s internationalisation goals, e.g., international collaborations in research, professional activities and scholarly activities.

10.2.2 Competence in service to the University and/or the Community including the demonstration of collegiality within the Department/School.

Assistant Research Fellows promoted to Research Fellows will have demonstrated collegiality within the Research Team/Department. Participation in service is encouraged and will be considered positive in an application. These include activities such as:

a. demonstrating and fostering collegiality within the Department/School;

b. engagement in review and/or quality assurance activities;

c. input into teaching and supervision of undergraduate and/or postgraduate students;

d. contributions to planning and/or governance (e.g. via union work, working parties, policy-making etc.);

e. contribution to Māori development within the University Community;

f. contribution to the development of Māori Strategic framework;

g. at appropriate levels, the holding of management or administrative positions within the Department, Division or the University;

h. provision of academic and professional service and advice to the community; and

i. development and implementation of health and safety measures in research.
SCHEDULE II

Promotion from Research Fellow to Senior Research Fellow

Successful applicants will be appointed to step 1 of the Senior Lecturer Scale

11.1 GENERAL CRITERIA

There are two primary criteria to be considered at this promotion. These are:
• research/scholarship/professional activities (major);
• service to the University and the community (minor).

Research Fellows who teach may submit evidence of that teaching in the format of the Otago Teaching Profile. Participation in teaching and related activities is encouraged and will be considered positive in an application.

11.2 SPECIFIC CRITERIA

11.2.1 Sustained high competence in research and/or professional activities and scholarship activities

The applicant must be able to produce evidence of a body of work consistent with the full-time or near full-time engagement in research; this body of work should be substantially greater in scope or impact than expected of applicants for Senior Lecturer, who have substantial teaching responsibilities.

Promotion to Senior Research Fellow will require evidence of substantial contribution in one or more of:

a. research resulting in scholarly advances in a field of knowledge. It is expected that the scholarly nature of such work can be independently verified;
b. activity which is associated with the advancement of technical or professional activities;
c. individual and/or group research which results in publication and dissemination in scholarly outlets (such as professional journals, monographs, refereed conference proceedings and intellectual property). It is expected that the results of such research are in the public arena;
d. success in attracting research funding as a Principal or Co-Principal investigator;
e. continuing engagement in a scholarly or technical field, evidence of which might include activities of dissemination to other members in the field such as editorship, or editorial board membership, of journals and other publications, refereeing, leadership roles within conferences, consultancy activity, preparation of position papers or responses on behalf of scholarly associations, roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries, etc; and
f. contribution to the University’s internationalisation goals, e.g., international collaborations in research, professional activities and scholarly activities.

11.2.2 Sustained competence in service to the University and/or the community and demonstration of collegiality within the Research Team/Department/School

Under this criterion, consideration will be given not only to committee work within the Research Team/Department/School/Faculty/Division and the University, but also to activities such as:

a. demonstrating and fostering collegiality within the Research Team/Department/School;
b. input into teaching and supervision of undergraduate and/or postgraduate students;
c. engagement in equity activities, recruitment, advertising and public relations;
d. contributions to planning and/or governance (e.g. via union work, working parties, policy-making etc);
e. at appropriate levels, the holding of management or administrative positions within the Department, Division or the University;
f. provision of academic and professional service and advice to the community;
g. contribution to Māori development within the University Community;
h. contribution to the development of Māori Strategic framework;
i. service to external academic and professional activities;
j. contribution to continuing education, community debate and community development in the staff member’s academic field;
k. contribution to University links supporting providers of community service;
l. development and implementation of health and safety measures in research, and
m. engagement in review and/or quality assurance activities.
SCHEDULE 12

Promotion to and within the Senior Research Fellow range beyond the Bar

Successful applicants to the range beyond the bar will be appointed to step 1 of the scale

12.1 GENERAL CRITERIA

For promotion of Senior Research Fellows across the bar in the Senior Lecturer (Non-Medical/Dental) scale, applicants must show evidence of sustained outstanding competence in the advancement of knowledge together with sustained competence in either teaching or service to the University and to the community.

Promotion within the range will require the demonstration of a sustained significant contribution above the level required to achieve the promotion in the first place. The staff member should be able to demonstrate that they are progressing towards meeting the requirements for promotion to Research Associate Professor and, in particular, that they are assuming a leadership role in research as described in Schedule 6.2.2.1 as well as showing competence in service. Senior Research Fellows who teach may submit evidence of that teaching in the format of the Otago Teaching Profile. Participation in teaching and related activities is encouraged and will be considered positive in an application.

12.2 SPECIFIC CRITERIA

12.2.1 Sustained outstanding competence in the advancement of knowledge and/or professional practice

Advancement of knowledge
In assessing competence in the advancement of knowledge promotion committees will look for outstanding merit in prosecution of research and scholarship. It should be noted that in this context professional practice is not simply performance as a practitioner but rather must be a sustained scholarly contribution to the advancement of knowledge within the profession/discipline. In assessing such work, promotion committees will look for evidence of one or more of:

a. significant contribution to the advancement of an applicant’s specialised field of research;
b. original contribution to interdisciplinary research projects;
c. the development of new insights by the application of existing or new knowledge to the problems of society;
d. evidence of recognition of outstanding competence in scholarship;
e. leadership in the development of methods of quality assurance in research and/or postgraduate supervision;
and
f. contribution to the University’s internationalisation goals.

Promotion committees may also look for high level continuing engagement in a relevant scholarly field, evidence of which might include activities of dissemination to other members in the field such as:

a. editorship, or editorial board membership, of journals and other publications;
b. refereeing;
c. leadership roles within conferences;
d. preparation of position papers or responses on behalf of scholarly associations;
e. roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries; and
f. achievements in communicating the results of the applicant’s scholarly field to wide audiences of non-experts.
2.2.2 Sustained competence in service to the University and the community and demonstration of collegiality within the Research Team/Department/School

This criterion will be met by evidence of a contribution to University planning and/or governance, service to the relevant profession and/or academic discipline and/or relevant contributions to the wider community.

Under this criterion, consideration will be given not only to committee work within the Research Team/Department/School/Faculty/Division and the University, but also to activities such as:

a. policy-making;
b. demonstrating and fostering collegiality within the Research Team/Department/School;
c. engagement in review and/or quality assurance activities;
d. engagement in equity activities, recruitment, advertising and public relations;
e. contributions to planning and/or governance (e.g. via union work, working parties, policy-making etc);
f. at appropriate levels, the holding of management positions within the Department, Division or the University. Where an applicant has creditably performed administrative work which is normally assigned to a higher level position, this will constitute evidence of high competence on this criterion.
g. contribution to Māori development within the University Community;
h. contribution to the development of Māori Strategic framework;
i. provision of academic and professional service and advice to the community;
j. service to external academic and professional activities;
k. contribution to continuing education, community debate and community development in the staff member’s academic field;
l. provision of access to, participation in and development of culture and/or science;
m. involvement in the appraisal of community service needs;
n. contribution to University links supporting providers of community service; and
o. development and implementation of health and safety measures in teaching and research.

**Note (for interpretation only):** Sustained is measured by comparison of the applicant’s performance and achievement with others in the same or similar disciplines who have previously been promoted to the higher level by use of the criteria and whose performance at that higher level has also been satisfactory. The Committee will need to be satisfied that the record of performance is such as to give reasonable confidence that it will be maintained or improved following the promotion. If a staff member has reached a comparable level of performance and maintained this level of performance for a number of years, then performance will be deemed to be sustained.
SCHEDULE 13

Promotion to Research Associate Professor

Successful applicants will be appointed to step 1 of the Associate Professor Scale

13.1 GENERAL CRITERIA

To be promoted to Research Associate Professor the employee must be able to demonstrate that they meet the criteria of sustained outstanding competence and sustained leadership in research as specified for the promotion to Professor in Schedule 6.2.2. It is also necessary that they demonstrate sustained high competence in service including the demonstration of collegiality.

Senior Research Fellows who teach may submit evidence of that teaching in the format of the Otago Teaching Profile. Participation in teaching and related activities is encouraged and will be considered positive in an application.

This promotion is available to staff who are funded from sources other than government EFTs funding and / or student fees i.e. either external research or commercial monies. The principal role will be in research and they will generally be engaged in this activity full-time.

13.2 SUSTAINED OUTSTANDING COMPETENCE IN THE ADVANCEMENT OF KNOWLEDGE AND/OR PROFESSIONAL PRACTICE

13.2.1 Advancement of knowledge

The applicant must be able to produce evidence of a body of work consistent with the full-time or near full-time engagement in research; this body of work being substantially greater in scope and impact than expected of applicants for Associate Professor who have a balanced workload between teaching, research and service.

In assessing competence in the advancement of knowledge the University will look for outstanding merit in prosecution of research and scholarship. In assessing such work, the University will look for evidence of one or more of:

a. significant contribution to the advancement of an applicant’s specialised field of research;
b. original contribution to interdisciplinary research projects;
c. the development of new insights by the application of existing or new knowledge to the problems of society;
d. evidence of recognition of outstanding competence in scholarship;
e. leadership in the development of methods of quality assurance in research and/or postgraduate supervision; and
f. contribution to the University’s internationalisation goals, e.g., international collaborations in research, professional practice and scholarly activities.
13.2.2 Professional practice.

In considering an applicant’s work under this criterion, evidence of his or her professional standing among teachers, scholars and colleagues in the same field will be relevant. It should be noted that in this context professional practice is not simply performance as a practitioner but rather must be a sustained scholarly contribution to the advancement of knowledge within the profession/discipline.

(1) In assessing competence in professional practice the University will look for high level continuing engagement in a relevant scholarly field, evidence of which might include activities of dissemination to other members in the field such as:

a. editorship, or editorial board membership, of journals and other publications;
b. refereeing;
c. leadership roles within conferences;
d. preparation of position papers or responses on behalf of scholarly associations;
e. roles on government or industry commissions, and/or requests to run information or training sessions for the government, professions or industries; and
f. achievements in communicating the results of the applicant’s scholarly field to wide audiences of non-experts.

(2) The University will also, or alternatively, consider creative contributions in the relevant area, which might include instances of artistic, technical or professional performance or continuing engagement in a professional, technical or artistic field. Such engagement might include sustained and prestigious involvement in exhibitions or performances. Evidence that such contributions demonstrate significant advances within the relevant field would be required. The University will expect to be supplied with examples of critiques by acknowledged experts in the field. Evidence of such recognition might also include success in prestigious awards.

13.2.3 Sustained high competence in service to the University and the community including the demonstration of collegiality.

In assessing this, the University will require evidence of a contribution of significance and distinction that is recognised as such throughout the University. The University will mainly be concerned with service that makes a sustained significant contribution to helping the University achieve its academic goals. This may include significant managerial or representative roles inside or outside the University. Such service may, in some cases, include demonstrated outstanding competence in:

a. policy-making and management within the University and/or the community;
b. advising governments and public enquiries, and service committees of enquiry;
c. successful communication of the benefits of research and scholarship to the non-specialised public;
d. the provision of academic and professional service and advice to the community;
e. demonstrating collegiality within the Research Team/Department/School;
f. fostering collegiality among staff members of the Research Team/Department/School;
g. contribution to Māori development within the University Community;
h. contribution to the development of Māori Strategic framework;
i. service to external academic and professional activities;
j. contributing to continuing education, community debate and community development in the staff member’s academic field;
k. the provision of access to, participation in and development of culture and science;
l. the appraisal of community service needs;
m. contributing to University links supporting providers of community service; and
n. development and implementation of health and safety measures in teaching and research.
SCHEDULE 14

Promotion to Research Professor

Successful applicants will be appointed to step 1 of the Professor Scale

14.1 GENERAL CRITERIA

To be promoted to Research Professor, the employee must be able to demonstrate that they meet the criteria of sustained outstanding competence and sustained outstanding leadership in research and/or professional practice and in service as outlined in 13.2 and 13.3 below.

Research Associate Professors who teach may submit evidence of that teaching in the format of the Otago Teaching Profile. Participation in teaching and related activities is encouraged and will be considered positive in an application.

This promotion is available to staff who are funded from sources other than government EFTs funding and / or student fees i.e. either external research or commercial monies. The principal role will be in research and they will generally be engaged in this activity full-time.

The important criteria to be established in addition to performance beyond the level expected of a Research Associate Professor is that of leadership.

Where it is considered that there is a prima facie case for promotion the University will establish an advisory committee to consider the case. The Committee will seek external referees’ reports to assist in assessing the applicant’s merit. The applicant may nominate the external referees but the University reserves the right to approach any or all of them plus other referees of the University’s choice.

14.2 SUSTAINED OUTSTANDING COMPETENCE AND SUSTAINED OUTSTANDING LEADERSHIP IN RESEARCH AND/OR PROFESSIONAL PRACTICE.

14.2.1 Research

The applicant must be able to produce evidence of a body of work consistent with the full-time or near full-time engagement in research; this body of work being substantially greater in scope and impact than expected of applicants for Professor who have a balanced workload between teaching, research and service.

In assessing sustained outstanding competence in research the University will look for exceptional ability and original thought in pursuit of research. In assessing evidence of sustained outstanding competence and sustained outstanding leadership, the Committee will consider the applicant’s claims against some or all of the following (applicants may add further examples of sustained outstanding competence as appropriate):

a. evidence of outstanding contributions in basic and/or strategic and/or applied research;
b. evidence of outstanding achievement arising from research grants;
c. sustained attraction and successful supervision of research students;
d. leadership in the generation of collaborative research programmes within the University and/or with external bodies such as industry and other tertiary institutions;
e. academic awards or distinctions, including honorary degrees and prizes;
f. design and implementation of research programmes;
g. leadership in the development and implementation of methods of quality assurance in research;
h. an international reputation for research findings;
i. contribution to the relevant research communities;
j. originality in applied work, such as development of new techniques or improvement of established techniques which have been accepted in the research community;
k. publication of books and articles in journals and through publishing houses of high national/international standing, and citations of these in the research literature;
l. editorship and refereeing in regard to research publications;
m. publication of reports commissioned by government agencies and international organisations;
n. successful application for patents and licences based on original research;
o. a record of effective contribution to the development of a discipline in the wider community;
p. invitations to visit at a senior level in other tertiary institutions or government agencies, invitations to undertake professional advisory work, invited public lectures or invitations to give keynote addresses; and
q. contribution to the University’s internationalisation goals, e.g., international collaborations in research, professional practice and scholarly activities.
14.2.2 Professional practice

In assessing sustained outstanding competence in Professional Practice the University will look for exceptional ability and original thought in professional practice. It should be noted that in this context professional practice is not simply performance as a practitioner but rather must be a sustained scholarly contribution to the advancement of knowledge within the profession/discipline. In assessing evidence of professional practice, the University will consider the applicant’s claims against some or all of the following (applicants may add further examples of sustained outstanding competence and leadership as appropriate):

a. original designs, such as the production of prototypes, creative or original work in art, literary works and music;
b. commissioned work and outcomes of the work;
c. dissemination of professional practice to other members in the field through activities such as editorship or editorial board membership;
d. involvement in the solution of practical problems experienced by industry, government and professional or the research community;
e. influence in the development of a profession;
f. leadership role in professional/learned societies;
g. professional peer recognition of significant competence in contributions to the work of a profession at a national or international level;
h. professional consultancies where there is scholarly output;
i. leadership role in quality assurance methods;
j. membership of government and/or industry and/or professional advisory bodies;
k. membership of international delegations in the area of expertise; and
l. professional awards or citations.

14.3 SUSTAINED OUTSTANDING COMPETENCE AND SUSTAINED OUTSTANDING LEADERSHIP IN SERVICE BOTH TO THE UNIVERSITY AND EXTERNAL COMMUNITY INCLUDING THE DEMONSTRATION OF COLLEGIALITY WITHIN THE RESEARCH TEAM/DEPARTMENT/SCHOOL.

In assessing sustained outstanding competence and sustained outstanding leadership in service, the University will look for evidence of a contribution of great significance and distinction that is recognised as such throughout the University and outside the University. In assessing evidence of service the University will consider the applicant’s claims against some or all of the following (applicants may add further examples of sustained outstanding competence and sustained outstanding leadership as appropriate):

a. a leadership and management role in a substantial unit which contributes to the University’s goals;
b. successful communication of scholarship to the non-specialised public;
c. a leadership role in the development of a field of study in the wider community and contribution to public debates on issues of importance in the community;
d. demonstrating collegiality within the Research Team/Department/School;
e. demonstrating leadership in the fostering of collegiality among the staff members of the Research Team/Department/School;
f. substantial administrative competence which has benefited the University. Note: membership of administrative committees and/or the holding of administrative appointments is not sufficient without evidence of leadership and important achievements;
g. contribution to Māori development within the University Community;
h. contribution to the development of Māori Strategic framework;
i. membership of government and/or industry advisory bodies;
j. professional leadership achieved by the development of close and continuing associations with industry, commerce, government or the community generally; and
k. provision of leadership in the development and implementation of health and safety measures in research and/or teaching where that is applicable.
SCHEDULE 15

Promotion to Clinical Reader

15.1. GENERAL CRITERIA

Promotion to Clinical Reader is available to a Clinical Senior Lecturer (i.e. a clinical teacher in the Faculty of Medicine or Dentistry whose primary employment is outside the University) who can demonstrate either:

• sustained high competence in teaching, assessment and curriculum development, professional practice and scholarly activities, and service to the University and community; or
• sustained high competence in one of the criteria, sustained outstanding competence in another, and competence in the third.

15.2. SPECIFIC CRITERIA

The specific criteria for sustained high competence in teaching, assessment and curriculum development, professional practice and scholarly activities and in University and community service are those specified in Schedule 4, Sections 4.2.1, 4.2.3 and 4.2.4 respectively.
APPLICATION FOR PROMOTION

NB: Deadline for receipt by Human Resources is 10 May

Please do not staple documents or submit double-sided documents

SURNAME ___________________________ FORENAMES ___________________________

DEPARTMENT ___________________________ SCHOOL ___________________________

CURRENT GRADE ___________________________ Current Salary Step _________ EFT ___________

Appointment status: Fixed term Permanent Confirmation Path Confirmed Appointment (circle as applicable)

Promotion sought to ______________, under schedule __________ of the Academic Staff Promotion Policy

Standard being claimed in relation to promotion criteria:

<table>
<thead>
<tr>
<th>TEACHING</th>
<th>SOLC</th>
<th>SOC</th>
<th>SHC</th>
<th>SC</th>
</tr>
</thead>
<tbody>
<tr>
<td>RESEARCH</td>
<td>SOLC</td>
<td>SOC</td>
<td>SHC</td>
<td>SC</td>
</tr>
<tr>
<td>SERVICE</td>
<td>SOLC</td>
<td>SOC</td>
<td>SHC</td>
<td>SC</td>
</tr>
</tbody>
</table>

Documentation attached in this order: Tick ✔

The staff member’s written personal statement (limit 3 pages)

Otago Teaching Profile which includes:
- Self-Evaluation Statement (limit 2 pages)
- Supporting documents of:
  a. Schedule of teaching responsibilities
  b. Evaluations of Teaching: summary data forms and team leader data
  c. Teaching Context forms (optional)
  d. Peer review of teaching form (only if peer review used)
  e. List of documents on-call

Copies of critical reviews in the case of staff members who have published a book

List and statement of nominated referees for staff seeking promotion to Associate Professor, Research Associate Professor, Clinical Associate Professor, Professor, Research Professor of Clinical Professor

Curriculum vitae in standard format

Evidence of acceptance of Publications (see notes on curriculum vitae – appendix 4 below)

The HOD/Dean’s confidential assessment statement (in standard format)

NO OTHER DOCUMENTATION MAY BE PROVIDED

Have you asked a second senior colleague to act in the role of completing the Assessment Statement in addition to that of your HOD for this application? Yes/No

If YES please name that colleague: ____________________________________________

Applicant Signature: ___________________________________________ Date: ____________
Please ensure you pass this application onto your HOD by the date they require,
BEFORE BEING SENT TO HR by the closing date of 10 May.

Key:
SC = Sustained Competence
SHC = Sustained High Competence
SOC = Sustained Outstanding Competence
SOLC = Sustained Outstanding Leadership and Sustained Outstanding Competence

HR USE ONLY:
Application checked YES
Pages in excess of requirements purged? YES / NONE

PVC OFFICE USE ONLY:
Additional documentation outside of that allowed removed? YES / NONE

Acknowledgement Slip of Receipt of Academic Promotion Application

If you would like Human Resources to acknowledge receipt of your application please complete this section:

PERSONAL

To ____________________________ Name

______________________________ Department

HUMAN RESOURCES USE:
Application for academic promotion received by Human Resources on

/ / by __________________________ Signature
### Submission Requirements

**Introduction**

As part of the documentation for promotion, confirmation and other appraisal decisions, academic staff are required to submit an Otago Teaching Profile. The Otago Teaching Profile provides evidence of teaching performance and is outlined below. Detailed advice on the preparation of the Profile is available from the Higher Education Development Centre in the Guidelines for the Evaluation of Teaching (sent to HoDs and also online at www.otago.ac.nz/hedc).

The promotion documents (Figure 1) provide material for the summative judgement of teaching performance, however, the Teaching Profile derives from and is evidence of a developmental process - the staff member’s reflection on data about their teaching, collected from various sources.

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**Figure 1: The Otago Teaching Profile and its Relation to Other Promotion Documentation**
The Elements of the Otago Teaching Profile
The Otago Teaching Profile consists of a self-evaluation of teaching and supporting documents, which are submitted with the application for promotion. The on-call documents must be available if called for (Figure 2).

**Self Evaluation Statement**

The central feature of the Teaching Profile is a self-evaluation statement on the staff member’s teaching (Figure 2), which should NOT exceed two sides of A4 paper (1.5 spacing, size 12 font). **Please note that any pages in excess of two will be removed from the application before submission to the Divisional Promotion Committee.** The self-evaluation statement is expected to emphasise what has been learned about teaching through reflection on data such as students’ evaluations or other material in the supporting and/or the on-call documents. It may also refer to additional parts of the documentation for promotion, for example the Curriculum Vitae, to explain or draw attention to key issues. The content should complement rather than duplicate other material, such as the promotion personal statement, that is submitted in the overall application (see Figure 1). The self-evaluation statement should include:

i) a summary of the staff member’s personal views on teaching and evidence of how their teaching practices reflect those views;

ii) an explanation of what the staff member attempted to achieve in their teaching;

iii) a summary, with evidence, of how well they succeeded in achieving those aims, with particular reference to the quality of students’ learning; and

iv) the identification of goals for the further development of their teaching.

**Supporting Documents**

A. Schedule of teaching responsibilities.
B. Evaluations of teaching: summary data forms (Required) and co-ordinator and team leader survey (If used).
C. Context forms for evaluation of teaching (Optional).
D. Peer review of teaching form (Only if peer review used).
E. List of documents on-call (Required).

**On-Call Documents**

For example:

- Data on students’ evaluations of teaching;
- Documents from peer review, including reports from reviewers;
- Documents about teaching and course development activities;
- Evidence of attendance at conferences and workshops related to teaching;
- Publications on teaching and research into university teaching.

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*Figure 2: The Components of the Otago Teaching Profile*
Supporting Documents
The supporting documents (items A-E in Figure 2) provide summaries of various materials relating to the staff member’s teaching situation.

It is expected that evaluations will be provided for all significant teaching responsibilities. However, to avoid overloading students with teaching evaluations it is recommended that staff conduct evaluations of only one third of the papers taught each year. Staff should not evaluate the papers or courses they teach more than once every three years unless there are significant issues relating to teaching performance or there have been major changes in a course.

a  The schedule of teaching responsibilities provides a record of the range and level of the staff member’s teaching and must be submitted.

b  The HEDC evaluations of teaching: summary data forms present the student questionnaire data for each year. These will be provided to the staff member by HEDC and updated automatically as each set of questionnaires is processed. Data from “Evaluations of Co-ordinators and Team Leaders” may also be submitted. For 2007, evaluations are required from the years 2004, 2005 or 2006. Applicants may submit teaching evaluations undertaken in 2007 if there is a special reason but it is not required as part of the application.

c  The context forms for evaluations of teaching summarise the circumstances for each of the courses which have been evaluated. Although the context forms are optional they provide an opportunity to make clear the particular circumstances of the courses.

d  The peer review form provides information on the nature of any peer review process used and is submitted only if peer review is undertaken. Data or additional documents relating to peer review including reports may be included in the on-call evidence (see Figure 2).

e  The list of documents on-call refers to material which the Committee may call for (see below). Each document should be listed with a title, year, and the number of pages.

The forms for items a, c, and d are attached. This document is available with the academic staff promotion papers on the University of Otago Website, on the Human Resources site at: http://www.otago.ac.nz/human resources, under Policies.

On-Call Documents
The on-call documents (Figure 2) consist of any material which is referred to in the self-evaluation statement. Material not referred to in the self-evaluation statement should not be included. The HOD’s Assessment Statement should confirm the availability of the on-call documents.
Schedule of teaching responsibilities in last 3 years
* indicates some explanation probably needed in written statement
Note: continue on a copy of this form if more space needed. Ensure that postgraduate research student supervisions are listed in 7d of CV in “Research” not “Teaching” sections.

<table>
<thead>
<tr>
<th>Year</th>
<th>Paper or Course</th>
<th>Own teaching contributions</th>
<th>Leadership responsibilities</th>
<th>Teaching Evaluations</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006</td>
<td>University Code</td>
<td>Enrolments (give best estimate)</td>
<td>Number of Lectures &amp; duration</td>
<td>Number of Tutorials &amp; duration</td>
</tr>
<tr>
<td>2005</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2004</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If necessary please complete further forms in order to provide full information
Context form for evaluations of teaching

- Use separate form for each year.
- Use box 9 to expand on any item.
- If any response rate was less than 70%, please explain the reasons in box 9.

<table>
<thead>
<tr>
<th>Year</th>
<th>Enter Paper Code</th>
<th>Enter date of survey</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1 Is this the first time you have taught this course? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA
2 Is this the first time the course has been offered in the programme? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA
3 Has the course been modified significantly since it was last offered? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA
4 How long before the course began did you know you would be teaching? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA
5 Is the course compulsory for the enrolled students? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA
6 How would you rate the difficulty of the course for students?
   Enter: 1 if the majority of students find the course difficult;
   2 if about half of the students find it difficult
   3 if very few students find it difficult
7 Were you responsible for the design of the course including the assessment tasks? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA
8 Were you responsible for the development of the course materials? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA
9 Do you have any comments on any of these papers that could provide a better understanding of your teaching and/or evaluation situation?
Peer Review of Teaching

The purpose of this form is to identify the parts of your teaching addressed through peer review in the last three years and the process you have used.

<table>
<thead>
<tr>
<th>Papers for which you have used peer review</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Approximate dates of peer review</td>
<td></td>
</tr>
<tr>
<td>What aspects of your teaching were reviewed in each paper?</td>
<td></td>
</tr>
<tr>
<td>Teaching (by observation)</td>
<td></td>
</tr>
<tr>
<td>Course materials</td>
<td></td>
</tr>
<tr>
<td>Examination papers</td>
<td></td>
</tr>
<tr>
<td>Student evaluations</td>
<td></td>
</tr>
<tr>
<td>Other (specify):</td>
<td></td>
</tr>
<tr>
<td>Other (specify):</td>
<td></td>
</tr>
<tr>
<td>Other (specify):</td>
<td></td>
</tr>
</tbody>
</table>

Names of colleagues who assisted you with peer review:

<table>
<thead>
<tr>
<th>Name</th>
<th>Dept/School</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
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<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Have you and your colleagues used the peer review process recommended in the HEDC Guide to the Evaluation of Teaching (Section 8)?

YES/NO

If you have not then please describe your scheme:

I endorse that I participated as described

I endorse that I participated as described

I endorse that I participated as described

Have you acted as a peer reviewer for any colleague in the last three years? YES/NO

If yes then please indicate the number of colleagues reviewed
Curriculum Vitae

Please note that “non applicable” sections of this curriculum vitae should be omitted. The relevant section should be presented in the same order as indicated below.

1 Personal Information

Name:

2 Qualifications

(a) Qualification name: Institution: Date of Graduation:

(b) Are you currently enrolled in a higher degree qualification: Yes/No
   If Yes, please provide the following information:
      (i) Type of degree:
      (ii) Institution:
      (iii) Expected completion date:

3 Professional Affiliations/Memberships (List)

4 Languages (List and indicate your proficiency)

5 Employment History

(a) Present Position

(b) Employment History

6 Other Relevant Experience

(a) Experience Working in an Overseas Country (not Previously Listed)

(b) National/International Collaboration

7 Research Activities

(a) Research Expertise

(b) Experience in Applied R & D, contract research, consultancies, patents

(c) Research Grants (significant grants only)
   (1) Please list below any research grants you have received where you are the first named principal or joint principal investigator.
   (2) Please list below any research grant on which you are a named contributing researcher.

(d) Supervision of Postgraduate Students (list all supervisors with the name of the primary supervisor in bold, the enrolment date and the completion date)
8 Distinctions

9 Teaching Activities
   (a) Range and level of teaching (Last three years only)
   (b) Development of significant innovations and/or publications in curriculum development, student assessment, teaching procedures and teaching materials
   (c) Teaching administration and leadership, quality assurance, evaluation
   (d) Professional development achievements

10 Student evaluation of teaching (last three years only and Schedule of Teaching Responsibilities form.)
   (NB: Only if an Otago Teaching Profile is not being submitted)

11 Publications
   Listed in date order, preferably with the most recent publication first.
   Include only published items or items which have been accepted for publication in the final form, preferably with page numbers. Your role in edited books should be described. For each yet to be published item please attach to the CV a copy of the publisher's letter advising of acceptance for publication.
   (a) Books
   (b) Book Chapters
   (c) Refereed Journal Articles (in date order preferably with the most recent publication first)
   (d) Non-refereed Journal Articles and Reports not included elsewhere
   (e) Major Reviews
   (f) Book Review Articles
   (g) Refereed Conference Proceedings (include pagination for all articles)
   (h) Other Significant Conference Involvement (including conference abstracts)
   (i) AudioVisual Recordings
   (j) Computer Software
   (k) Technical Drawing/Architectural and Industrial Design/Working Model
   (l) Patents
   (m) Other Creative Works

12 University Service (not listed elsewhere)
   (a) Significant positions held within Department/School/Division
   (b) Significant positions held at a University level
   (c) Significant positions held as a University representative at National level
13 Professional Activities

(a) Academic and Professional Advice and Services
   (i) Service to public sector departments and statutory authorities, agencies, boards, committees and inquiries
   (ii) Service to non-government organisations

(b) Service to External Academic and Professional Activities
   (i) Service to, or leadership in, academic discipline or professional associations
   (ii) Editorship of journals and periodicals.

14 Community Service

(a) Continuing Education, Community Debate and Community Development
   (i) Media commentaries and columns on professional matters
   (ii) Conferences, seminars, and workshops
   (iii) Public lectures
   (iv) Provision of continuing education

(b) Cultural and/or Scientific Access, Participation and Development
   (i) Drama
   (ii) Film and media
   (iii) Music
   (iv) Visual aids
   (v) Library and information service
   (vi) Service and technology

(c) Appraisal of Community Service Needs

(d) University Links Supporting other Providers of Community Service
   (i) Schools
   (ii) Other Universities
   (iii) Polytechnics/Colleges of Education
   (iv) Industry

(e) Other Examples of Community Service
DELETE THIS PAGE AFTER PREPARING CV

Please note that non-applicable sections of the standard CV should be omitted. The relevant sections should be presented in the same order as identified in the standard CV.

For each entry under Section 11 of the CV, the principal author (not the applicant unless the applicant is the principal author) must be indicated by the use of bold type. Each category of publication should be listed in date order, preferably with the most recent publication first.

When listing yet to be published items under Section 11 of the CV, particular care must be taken to include only journal publications which have been accepted for publication in the final form at the date the promotion application is submitted, preferably with pagination. Yet to be published edited books and monographs should be listed only where a contract has been agreed and the manuscript accepted. (A copy of the publisher’s letter advising of acceptance for publication must be attached to the CV.) Any other categories of yet to be published material should not be included and will not be taken into consideration by the Committees.

Please note that a Major Review is not a simple book review. The Committee considers a Major Review (Curriculum Vitae standard format Section 11(e)) to be a substantial paper (typically, but not necessarily, 20-30 pages) in a high impact journal providing an authoritative statement on the state of knowledge in a particular field, written by an expert in that field.

Staff are cautioned to be particularly careful that their CV is in the format attached to this document. Note that the Schedule of Teaching Responsibilities is now included with the Teaching Profile (see section on Otago Teaching Profile). Further copies of the format are available from the Human Resources Division. Copies of the format are also available on the University of Otago Website on the Human Resources site at http://www.otago.ac/human resources, under Forms Store.

A staff member who has published a book which has been the subject of scholarly review, should attach copies of those reviews with their application. Similarly, executant staff should attach copies of critical reviews of their performances.

Staff should be aware that if care is not taken in the preparation of their CV this could jeopardise the success of their application.
This report is to be completed by the HOD, under the terms of the Academic Staff Promotion HR Policy

- Please validate the claims made in the personal statement, CV and Otago Teaching Profile.
- You may be asked to advise the Divisional Committee on this report

Please assess the achievements of the applicant in each area, and provide comment in support of your recommendation by commenting on:
- the student evaluations of teaching and compare it with the expectations for the department or division;
- the quality of significant publications;
- the applicant’s contribution to multi-author publications;
- the significance of conference proceedings and ensuring a clear distinction between proceedings, abstracts and presentations;
- the quality of post graduate supervisions;
- the esteem of the staff member by peers in their discipline;
- the applicant’s contribution to the research environment; and
- whether the service contribution is appropriate.

APPLICANT NAME ______________________ CURRENT GRADE ______________

DEPARTMENT ______________________ PROMOTION SOUGHT ______________

1. Assessment of Achievement in each area

Consider the applicant’s application in each of the key areas (teaching, research, and service as applicable to the promotion) against the criteria outlined in the relevant schedule for the promotion sought. Please comment and then check one box for each broad area. If the applicant has undergone peer review please comment on any evidence offered in the self-evaluation statement.

a) TEACHING - comment

b) RESEARCH - comment
c) SERVICE - comment

2. HOD's Recommendation

☐ I strongly recommend the applicant for promotion to the grade sought at this time

☐ I recommend the applicant for promotion to the grade sought at this time

☐ I do not recommend the applicant for promotion to the grade sought at this time

☐ I confirm the availability of the on-call documents listed in the Otago Teaching Profile

_I provide this statement on the understanding that it will remain confidential to those concerned with considering this promotion and will not be used for any other purpose._

Signature: ___________________________ Name: ___________________________

Department: ___________________________ Date: ___________________________

3. Dean's Recommendation

Tick appropriate box

☐ I endorse the HOD's comments

☐ I attach my comments separately

_I provide this statement on the understanding that it will remain confidential to those concerned with considering this problem and will not be used for any other purpose._

Dean's Signature ________________________ Date: _________________________

(required for Health Sciences)

No comment is required by the Dean unless it is established as part of the Division's process.

Please attach this statement to the back of the staff member’s application; sign the application form and forward to Human Resources by 10 May.

Key:

| SC  | = Sustained Competence |
| SHC | = Sustained High Competence |
| SOC | = Sustained Outstanding Competence |
| SOLC| = Sustained Outstanding Leadership and Sustained Outstanding Competence |
Delete any Promotion types not relevant
Identify confirmation path staff with

<table>
<thead>
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<th>Present:</th>
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<td>Convenor</td>
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**In attendance:**

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<tr>
<td>AUS Observer</td>
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<tr>
<td>EEO Observer</td>
<td></td>
</tr>
<tr>
<td>Secretary</td>
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**Process:**

Brief statement on process outlined by Pro-Vice-Chancellor

**RECOMMENDATIONS OF THE COMMITTEE FOR PROMOTIONS WITHIN THE JURISDICTION OF THE STAFFING ADVISORY COMMITTEE:**

<table>
<thead>
<tr>
<th>To Personal / Research / Clinical Professor (Schedule 6 and 14)</th>
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<tbody>
<tr>
<td>Present Grade</td>
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Statement in support of the decision (include assessment of Teaching, Research and Service):

<table>
<thead>
<tr>
<th>To Associate Professor / Research Associate Professor / Clinical Associate Professor (Schedule 5 and 13)</th>
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<tbody>
<tr>
<td>Present Grade</td>
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Statement in support of the decision:
DECISIONS OF THE COMMITTEE FOR PROMOTIONS WITHIN THE DIVISION’S JURISDICTION

Additional Increments within the Lecturer and Senior Lecturer scales (Schedule 1)

<table>
<thead>
<tr>
<th>Present Step</th>
<th>New Step</th>
<th>Name</th>
<th>Decision</th>
<th>Alternate promotion if not approved</th>
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Statement in support of the decision:

Lecturer to Senior Lecturer (Schedule 2)

<table>
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<tr>
<th>Present Grade</th>
<th>New Grade SLG 01</th>
<th>Name</th>
<th>Decision</th>
<th>Alternate promotion if not approved</th>
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Statement in support of the decision:

To and within Senior Lecturer (Non-Medical / Dental) range beyond the Bar (Schedule 3)

<table>
<thead>
<tr>
<th>Present Step</th>
<th>New Step</th>
<th>Name</th>
<th>Decision</th>
<th>Alternate promotion if not approved</th>
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Statement in support of the decision:

To Senior Lecturer (Medical and Dental) beyond the Bar (Schedule 4)

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<tr>
<th>Present Grade</th>
<th>New Grade SLM 07 or SLD 07</th>
<th>Name</th>
<th>Decision</th>
<th>Alternate promotion if not approved</th>
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Statement in support of the decision:

Teaching Fellow to Teaching Fellow above the Bar (Schedule 7)

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Statement in support of the decision:
### Senior Teaching Fellow beyond the third step of the Lecturer scale (Schedule 8)

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<th>Present Step</th>
<th>New Step (1 step movement)</th>
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Statement in support of the decision:

### ARF below the bar to ARF beyond the Bar (Schedule 9)

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<th>Name</th>
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Statement in support of the decision:

### ARF beyond the Bar to Research Fellow (Schedule 10)

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<th>Name</th>
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Statement in support of the decision:

### Research Fellow to Senior Research Fellow (Schedule 11)

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Statement in support of the decision:

### To Senior Research Fellow (Non-Medical / Dental) range beyond the bar (Schedule 12)

<table>
<thead>
<tr>
<th>Present Grade</th>
<th>New Grade</th>
<th>Name</th>
<th>Decision</th>
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Statement in support of the decision:
NOTES

Recommendations to the Staffing Advisory Committee on cases to be considered by that Committee, must include a grading of, “strongly supported”, “supported”, or “not supported” and be accompanied by a brief justification by the Pro-Vice-Chancellor of the reasons for each grading. In all instances, Divisional Committee are to minute the assessment of each applicant in the areas of Teaching, Research and Service (as applicable).

The minutes should note:
1. if recommendations are not unanimous. Where there is a split decision, please include in the minutes an outline of the different viewpoints within the committee.
2. if the recommendation for promotion or progression is a majority vote as opposed to a unanimous one, advise Staffing Advisory Committee if either the Pro-Vice-Chancellor or external representatives dissent and the reasons for the different viewpoints. In such a case the Staffing Advisory Committee reserves the right to review the recommendation.
3. if a committee member has minority support for promotion or progression and that support includes one or both of the external members of the Division’s Promotion Committee, or the Pro-Vice-Chancellor, Staffing Advisory Committee must be advised and informed why the majority of the Divisional representatives do not support the case.
4. if no member of the Promotion Committee supports the case for promotion or progression Staffing Advisory Committee should be advised to this effect, together with the reasons.
5. if the Committee unanimously agrees that the applicant should have applied for a greater promotion, it should be noted in the Minutes. When the Human Resources Manager writes to the applicant with the decision, he or she will be encouraged to reapply next year and will be advised that the promotion case will be based on achievements from the date of appointment rather than the promotion approved this year.

REFEEEREE DETAILS

Divisional Committees are asked to ensure that applicants have provided sufficient information about nominated referees (both their expertise to comment on the applicant and information about their relationship including any collaborations or work with the nominated referee in the past).

If the statements are inadequate, please ask the applicants to provide more information. This information can be included with the recommendation to the Staffing Advisory Committee.

Please provide a statement about the suitability of the nomination and the relationship with the applicant for any additional nominations.

For further information about selecting referees, see section 9.9 above.

Proposed Referees:
Attached is a list of referees as suggested by the applicants. I have considered these referees but where in some cases the proposed referees appeared to have a close association or there was a need for wider professional viewpoint, alternative referees have been suggested (these are shown in bold italics type). Recommended referees are:

For Promotion to Professor / Research Professor / Clinical Professor

For Promotion to Associate Professor / Research Associate Professor / Clinical Associate Professor

The full address (including email contact details) for each applicant’s referees have been included.

Any issues that the Committee wishes to draw to the attention of Staffing Advisory Committee:
1. 
2. 
3. 

Signature: ___________________________ Date: ___________________________