

UNIVERSITY OF OTAGO

Academic Staff Promotions

Kaupapa-here Whakapiki Tūranga o Te Wāhanga

Pūmanawa Tāngata

Guidelines for applicants, Heads of Departments, Deans, Administrators and Promotion Committees.

The Staffing Advisory Committee is responsible for the Academic Staff Promotions Policy which is administered by the Human Resources Division.

EFFECTIVE FROM 1 MARCH 2024

Whaia te iti kahurangi; me he tuohu koe, he maunga teitei.

Pursue that which you treasure the most; should you falter, let it be only to a lofty mountain.

The University of Otago prides itself in its numerous achievements; that of its academic staff (teaching, research and service), its body of students and the number of research grants, prizes and awards it attracts every year. This institution is also proud of its vision, as demonstrated through living documents such as the Strategic Direction, the Māori Strategic Framework (MSF), and other Frameworks. Strategies and plans such as these demonstrate an unwavering commitment to, for instance, Māori development at local, regional, national and international levels.

This commitment is demonstrated through the integration of aspects of the MSF into the criteria and schedules of this policy. Not only does this allow for a broader application of the criteria in the academic staff promotions policy, it also reflects – appropriately – the principles of protection, partnership and participation as assured in New Zealand’s founding document, the Treaty of Waitangi.

Whakahihī ana Te Whare Wānanga i ōna tini tutukitanga: arā; ko ō ōna pūkenga (ko ngā kaiwhakaako, ko ngā kairangahau, ko ngā kaiwhakarato hoki) me ō ōna taurua hoki; tae atu ki te maha o ngā pūtea rangahau me ngā momo whakamānawa e whiwhi ai ia i ia tau. Whakahihī ana hoki Te Whare Wānanga nei i te whai kiko o ana pukapuka hei ara whakatinana i ōna wawata, pēnei i te ‘Aronga Rautaki, te Anga Rautaki Māori (MSF, 2022), me ētahi atu Anga Rautaki. E whakaatu ana ērā momo rautaki, ērā momo māhere rānei, i te ū kaha ki ngā whāinga pērā i te whakawhanake o ngā wawata Māori ā-iwi kāinga, ā-rohe, ā-motu, tae atu rā ki te ao whānui.

E whakatinanahia ana e Te Whare Wānanga tana whakapau kaha ki aua kaupapa mā te honohono i ngā āhua mai i te MSF ki ngā paearu me ngā takanga o tēnei kaupapa-here. Mā te whakaurunga o ngā paearu o te kaupapa-here whakapiki tūranga e taea ai te whakawhānui ake i te whai wāhi o aua paearu, ā, ka whakaata anō i ngā mātāpono o te tiakitanga, o te mahi tahi, o te whai wāhi hei whakatutuki i ngā kī taurangi, i te pukapuka tūāpapa i Aotearoa nei, arā, i Te Tiriti o Waitangi.

CONTENTS

| | |
|--|-----------|
| 1. Policy Intent | 4 |
| 2. Introduction | 5 |
| PART A – GUIDANCE FOR APPLICANTS | 6 |
| 3. Preparing your Application | 7 |
| 4. Deadline for Applications | 16 |
| 5. Period of Assessment | 17 |
| 6. Equity and Eligibility | 18 |
| 7. Out of Season Promotion | 19 |
| 8. Head of Department Assessment Statement | 20 |
| 9. Referees | 21 |
| 10. The Curriculum Vitae | 22 |
| 11. The CV – Research Outputs | 23 |
| 12. Recent Publications | 27 |
| 13. Research Metrics | 28 |
| 14. PBRF Scores | 29 |
| 15. Applications for promotion to Clinical Associate Professor and Clinical Professor | 30 |
| 16. Advancing knowledge and professional practice | 32 |
| 17. Creative or performance outputs | 34 |
| 18. Commercialisation of research | 35 |
| 19. Applied research | 37 |
| 20. Academic Leadership | 38 |
| 21. Lesser promotions and salary progressions | 39 |
| 22. Reapplying for promotion | 40 |
| 23. Further information about applying | 41 |
| 24. Appeals | 42 |
| PART B – GUIDANCE FOR HEADS OF DEPARTMENTS/DEANS | 43 |
| 25. Role of Heads of Departments/Deans | 44 |
| PART C – GUIDANCE FOR PROMOTION COMMITTEES | 47 |
| 26. Role of Divisional Promotion Committees and Teaching Pathway Promotion Committee | 48 |
| 27. Role of the Academic Staffing Advisory Committee | 54 |
| 28. Special Advisory Committee to consider applications for Professor, Research Professor and Clinical Professor | 56 |
| PART D – TIMETABLE FOR 2024 | 57 |
| 29. Timetable | 58 |
| APPENDICES | 59 |
| 1. Criteria for Academic Staff Promotion (schedules) | 60 |
| 2. Application Form | 110 |
| 3. The Otago Teaching Profile | 112 |
| 4. Standard Curriculum Vitae | 118 |
| 5. Template for Head of Department Assessment Statement | 122 |
| 6. Referees Form | 125 |

Nothing in this document shall be construed to override any provision of the Collective Employment Agreement or any Individual Employment Agreement; where there is conflict in the wording, the Collective Employment Agreement and/or Individual Employment Agreement shall prevail.

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.

ARONGA

Kia tutuki i Te Whare Wānanga o Otago tōna whāinga he wānanga kouna ā-ao rangahau ia, me pupuru tonu ia ki āna paenga e tohu ana kei te kōmata tiketike ōna mātauranga me ōna tutukitanga i te ao whānui.

Me kaha te pūnaha tuku taitara pūkenga a Te Whare Wānanga e mau ai te whakamiha a ō rātou hoapūkenga huri noa i te ao. Mā tā ia pūkenga rourou rangahau me te puawaitanga o ōna ākongā e whakawātia ai te mana o Te Whare Wānanga. Nā whai anō, me whai pūnaha Te Whare Wānanga hei tautoko i te whakahiatotanga ā-whare wānanga o ōna kaiako.

2. INTRODUCTION

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

| | Page no: |
|--|----------|
| Schedule 1 Additional Salary Increments | 61 |
| Schedule 2 Lecturer to Senior Lecturer | 62 |
| Schedule 3 To Senior Lecturer (Non-Medical/Dental) beyond the bar | 65 |
| Schedule 4 To Senior Lecturer (Medical and Dental) beyond the bar | 68 |
| Schedule 5 To Associate Professor and Clinical Associate Professor | 72 |
| Schedule 6 To Professor and Clinical Professor | 75 |
| Schedule 7 To Assistant Research Fellow beyond the bar | 79 |
| Schedule 8 Assistant Research Fellow/Postdoctoral Fellow to Research Fellow | 80 |
| Schedule 9 To Senior Research Fellow | 82 |
| Schedule 10 To Senior Research Fellow beyond the bar (Non-Medical/Dental) | 84 |
| Schedule 11 To Research Associate Professor | 87 |
| Schedule 12 To Research Professor | 90 |
| Schedule 13 From Teacher Education Fellow Scale (Range 1) to Teacher Education Fellow Scale (Range 2) | 93 |
| Schedule 14 To Senior Research Fellow (Medical and Dental) beyond the bar | 95 |
| Schedule 15 To Teaching Fellow (Band 2) | 98 |
| Schedule 16 To Senior Teaching Fellow (Band 3) | 99 |
| Schedule 17 To Senior Teaching Fellow (Band 4) | 101 |
| Schedule 18 To Professional Practice Fellow (Band 2) | 103 |
| Schedule 19 To Senior Professional Practice Fellow (Band 3) | 105 |
| Schedule 20 To Senior Professional Practice Fellow (Band 4) | 107 |

Promotion generally refers 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.

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 any regular annual or biennial academic performance reviews. For further information on these processes, go to

<http://www.otago.ac.nz/humanresources/training/academic-staff/performance-and-salary-review/index.html>

The decision to apply for promotion is made by the applicant. Nevertheless, staff are encouraged to consult with their Head 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 parts as follows:

Part A provides guidance to applicants

Part B provides guidance to Heads of Departments/Deans

Part C outlines the roles of the promotion committees

Part D provides a timetable

Part A

GUIDANCE FOR APPLICANTS

3. PREPARING YOUR APPLICATION

3.1 DECIDING TO APPLY

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. If you feel that it would be whakahihī (boastful) to put yourself forward unbidden, the suggestion may come from a mentor or your colleagues.

You should consult with your Head of Department about the appropriate level of promotion you should seek.

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 or promotion.

If you are considering applying for an additional increment on the Lecturer, Research Fellow, Senior Lecturer, Senior Research Fellow or Teacher Education Fellow scales 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.

If you want additional information before deciding to apply, see Section 23: [Further Information about applying](#).

3.2 DOCUMENTATION REQUIRED

Your application must include the following documentation:

1. Application form (see Appendix 2: [Application for promotion](#))
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
 - (a) You may include a fourth page that lists any on-call documents relating to research and service.
3. List of referees (for applications to Professor, Research Professor, Clinical Professor, Associate Professor, Research Associate Professor, and Clinical Associate Professor). See Section 9: [Referees](#);
4. Current Curriculum Vitae in standard University of Otago format (see Appendix 4: [Curriculum Vitae](#) and Section 10, [The curriculum vitae](#))
5. Otago Teaching Profile (see Appendix 3: [The Otago Teaching Profile](#)) except for applications by research only staff under schedules 7 to 12 and schedule 14
 - (a) Self-evaluation of teaching (limit 2 pages, 1.5 spacing, 12 font)
 - (b) Schedule of teaching responsibilities
 - (c) Reports from student evaluation questionnaires
 - (d) Reports from co-ordinator/team leader questionnaires (optional)
 - (e) Context forms for evaluations (optional)
 - (f) Peer review forms for teaching and supervision (where peer review has been used)
 - (g) List of teaching documents on call (required)

The Otago Teaching Profile is uploaded to the academic promotions portal, Sharepoint as one pdf.
6. Copies of evaluative reviews of published books, or of artistic performances, if available;
7. Evidence of acceptance of as yet unpublished manuscript(s) (see notes attached to Appendix 4: [Standard Curriculum Vitae](#) and Section 12: [Recent Publications](#));
8. Head of Department Assessment Statement (see Appendix 5: [Form for Head of Department Assessment Statement](#));
 - (a) In special circumstances, you may wish to include an Additional Head of Department Assessment Statement (see Section 8: [Additional Head of Department Assessment Statement](#)).

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 information is removed from the application before submission to Divisional Committees.

On-call documents: All on-call documents are uploaded to the academic promotions portal, Sharepoint.

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. See Section 4 – [Deadline for Applications](#)

3.3 PROMOTION CRITERIA

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: [Criteria for Academic Staff Promotion](#)).

Remember that you do not need to meet all the criteria nor are you limited to the criteria on the list – it is a pick list for your consideration. Note that some activities that you describe in your application may fall into different categories of work. It is important that you consider the appropriate category and do not 'double-count' items in your application.

3.4 YOUR PERSONAL STATEMENT

Your personal statement is a three-page document that addresses how your performance meets the specific criteria for the promotional step that you are seeking. It is an essential feature in your application and should be of the highest possible quality.

In your personal statement, you need to:

- (a) Demonstrate that you have achieved the required performance level by referring to the criteria in the relevant [Schedule](#). Give examples of how you meet the criteria. Remember that you do not need to meet all the criteria nor are you limited to the criteria on the list – it is a pick list for your consideration
- (b) Provide context for your work. Committee members will not necessarily be familiar with your particular discipline. They may need guidance about your work and its significance.
- (c) Back up your claims with the evidence provided elsewhere in your application (e.g. your CV, teaching profile documents). It may also be verified in the Head of Department Assessment Statement.
- (d) Address each relevant area of your work:
 - teaching, assessment and curriculum development (except for research only roles);
 - research, scholarship, advancing 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.
- (e) If your work is conducted within a Māori research environment you may need to explain the conventions that operate there and how they affect your output and its significance.
- (f) Where your work is carried out with and for specific communities within or outside the University you should describe the significance of this. You may wish to refer to University strategic documents such as the Pacific Strategic Framework. Your Head of Department can confirm your claims.

Format of the personal statement

The formatting requirements for the personal statement are:

- a maximum of 3 A4 sides
- 1.5 line spacing
- Size 12 font.

Points to remember when writing your personal statement

- The layout of the personal statement is up to you (within the prescribed formatting requirements). Please remember that committees read many applications each year, and they appreciate text that is structured and easy to read, with normal margins.
- Your Pro-Vice-Chancellor may give divisional guidance about drawing attention to key points in the layout of your personal statement.
- It is strongly recommended that you consult your Head of Department or an experienced colleague or an HEDC Academic Staff Developer for advice. You are also encouraged to approach an experienced colleague for an independent review of your application.

Part-time employment and significant absences

If you have had a significant absence or have worked part-time during the assessment period, you will declare this on the application form. You may wish to explain in your personal statement how the absence or reduced hours have affected the quantity or timing of your achievements.

- If you have had a prolonged absence which has delayed your application for promotion or which has reduced the quantity of your research output, or your teaching and service commitments, you are encouraged to draw attention to the absence in your personal statement. Please do not provide any details of any illness. Your Head of Department will confirm the absence.
- If you work part-time you should tell the Committee your approximate commitments to teaching, research and service (or research and service in research only roles). Essentially you are asked to specify the weightings that the Committee should ascribe to each of your performance areas. Your Head of Department should confirm that the time allocations/weightings have been agreed and are correct. Using this information, the Committee(s) will determine if your achievements reach the appropriate standard relative to your opportunities to achieve them.

List of on-call documents

Your personal statement may be supplemented by an additional page listing on-call documents relating to research and service. These are documents that are referred to in your personal statement or CV that back up claims that you are making in relation to research or service. Any documents listed must be referred to in your personal statement or CV, and must be available to the Committee if requested. NB: the Committee is not required to access these so your application should not be dependent on on-call documents. Do not include the documents themselves, only the list. There is neither an expectation nor a requirement that you include a list of on-call documents relating to research and service.

Remember that your personal statement must be no longer than 3 pages, 1.5 spacing and size 12 font.

3.5 TEACHING, ASSESSMENT AND CURRICULUM DEVELOPMENT

You have two ways of demonstrating the quality of your teaching: your personal statement and the Otago Teaching Profile.

In your personal statement, tell the committee:

- about your successes as a teacher (referring to evidence such as student evaluations, course evaluations, student feedback and so on);
- about your teaching achievements, awards or successes;
- about your postgraduate research supervision as evidence of the quality of your teaching (Committees find it helpful if you indicate your percentage of supervision);
- about your involvement in innovations in teaching, course development, and your contributions to joint curriculum projects or initiatives etc.

It is your responsibility to provide evidence of the claims you make about your teaching in your personal statement. You must submit this evidence in the format of the Otago Teaching Profile. The Otago Teaching Profile format allows you to give further context and present evidence to convince the reader of the quality of your teaching. The following tables describe the requirements of the Otago Teaching Profile. Further information is available in Appendix 3: [The Otago Teaching Profile](#).

The Otago Teaching Profile: Submission Requirements

EVIDENCE YOU MUST SUBMIT WITH YOUR APPLICATION

Self-evaluation of Teaching Statement

This statement is the central feature of your Otago Teaching Profile and is an evidence-based account of your development and achievements as a teacher.

The self-evaluation of teaching statement 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 Promotions Committee.

For guidance on preparing this document, see Appendix 3: [The Otago Teaching Profile](#).

Schedule of Teaching Responsibilities

Use this document to list your teaching responsibilities. This table provides a record of the range, level and time commitment of your teaching, and provides a summary of the evaluations that are included.

STANDARD SCHEDULE OF TEACHING TIMEFRAME

The standard timeframe for the teaching listed is the past three complete years (i.e. 2021-2023). You may also list teaching in the current year, but it is optional.

Exceptions to the standard timeframe are as follows:

- If you did not teach for one full year during the standard Schedule of Teaching timeframe, then you may substitute the year immediately prior to the standard timeframe.
- If your promotion application assessment period is shorter than the standard timeframe then please be aware that evidence from before your assessment period will not be taken into account.
- If your promotion application has a whole-of-career assessment period, you are not required to list more than three years of teaching responsibilities. However, you may include selected teaching responsibilities and evaluations from prior to the standard three-year timeframe of the Schedule of Teaching.

A template is available in Appendix 3: [The Otago Teaching Profile](#) and at the HR web page: <http://www.otago.ac.nz/humanresources/training/academic-staff/academic-promotion/index.html>

Student feedback about teaching performance

Student feedback must be submitted using reports from the University's student evaluation questionnaires about teaching and/or courses, which are administered by the Evaluation Office, Quality Advancement Unit). There are two types of document in this category.

1. Summary Data reports

You must include one complete Summary Data report for each of the years in the Schedule of Teaching timeframe. You will receive one of these reports whenever you conduct a student evaluation which asks the teacher evaluation questions. Failure to include any summary data from an evaluation undertaken during the standard timeframe will invalidate your application.

2. Questionnaire full results documents

You may also submit the full results for any student evaluation questionnaire listed in the Schedule of Teaching (see notes above on the Standard Schedule of Teaching Timeframe). Questionnaire results documents are usually 2 to 3 pages long and contain results for all questions, along with any free-text comments.

There are two exceptions to the requirement to submit Teacher or Course evaluation data in the standard format:

- *Non-standard evaluation data:* In exceptional cases it may be appropriate to use student evaluation data about your individual teaching that is not in the standard University of Otago Evaluation Office format. Non-standard evaluation documents may be included only if approved by the Pro-Vice-Chancellor of your Division as a legitimate alternative, and you must justify why you are not using the Evaluation Office questionnaire.
- *Small group evaluation:* For small group evaluation, you may aggregate data from several small groups where it is appropriate. Refer to the *Further Information* table below or go to: <http://www.otago.ac.nz/hedc/evaluate/small-groups/index.html>. You can also use a process of peer review or focus group to evaluate your small classes – read the *Other Evidence* table below about how to include Peer Review evidence in your Teaching Profile.

Where Paper Evaluations involve other teaching staff you should explain the relevance of the evaluation in your self-evaluation statement or in an optional 'Context form.'

List of on-call documents relating to teaching

On-call Documents relating to teaching are not included in your Otago Teaching Profile but you have referred to them within your Self-Evaluation of Teaching statement. On-call Documents relating to teaching provide illustrations of the claims you make about your teaching in your Self-Evaluation of Teaching Statement. These documents must be uploaded to the on-call documents folder you create in your application folder in the academic promotions portal, Sharepoint.

For examples of on call-documents relating to teaching, see Appendix 3: [The Otago Teaching Profile](#)

OTHER EVIDENCE YOU MAY SUBMIT WITH YOUR APPLICATION

Context form for evaluations of teaching and of courses

In the [Context form](#) for evaluations of teaching and courses you summarise the circumstances for each of the courses that have been evaluated.

Although this form is optional you are encouraged to include one because it will provide you with a valuable opportunity to make clear the particular circumstances of your courses and the factors that may affect your evaluations, as well as your particular contribution to a course. For example, you might explain how you were the sole teacher on a course, or if it was a team-taught course or a distance course, you might explain how the results of the course evaluations indicate the quality of your teaching performance and how you have provided a quality learning experience for students. You might also use the context form to explain the circumstances if you have a very low response rate for a feedback survey.

Record of Peer Review of teaching or supervision

You may submit records of Peer Reviews that you have undertaken for teaching listed in your Schedule of Teaching Responsibilities. Examples of where you may use a Peer Reviewer include: for a direct observation of your teaching; or a review of your course materials; or to run a focus group for student feedback.

How to include a Peer Review in the Otago Teaching Profile

The standard format is the Record of Peer Review form: your record of the review and what you have learnt from it. Do not include any document written by a peer reviewer. Any report from the peer reviewer is submitted only as an on-call document.

The standard Record of Peer Review form is found at <https://www.otago.ac.nz/hedc/otago621243.docx>

For further information on Peer Review of teaching, see www.otago.ac.nz/hedc/evaluate/peer-review

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| Evaluations of Coordinators and Team Leaders, using the University's Evaluation of Coordinators and Team Leaders Questionnaire <i>(administered by the Evaluation Office, Quality Advancement Unit).</i> | <p>If you coordinate or lead a team of teaching staff (e.g. tutors) you should consider asking these colleagues to evaluate your performance of the role. A questionnaire is available from the Quality Advancement Unit Evaluation Office to assist with this. The data from this questionnaire can be submitted in your Otago Teaching Profile.</p> <p>For further information see: www.otago.ac.nz/quality/evaluate-your-teaching/coordinator-team-leader-evaluation/index.html</p> |
| Evidence of the quality of teaching undertaken outside the University <i>(applicants for Clinical Associate Professor and Clinical Professor <u>only</u>)</i> | <p>Applicants for promotion to Clinical Associate Professor or Clinical Professor are encouraged to provide evidence from teaching outside the University including professional programmes. You should fully explain the significance of this evidence in your personal statement or the self-evaluation statement in your Otago Teaching Profile. You or your Head of Department may need to provide Committees with guidance on how to interpret the evidence. For further information, see Section 15: Applications for promotion to Clinical Associate Professor and Clinical Professor.</p> |

FURTHER INFORMATION

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|---|---|
| Otago Teaching Profile | <p>Appendix 3: The Otago Teaching Profile of this document.</p> <p>The HEDC website: www.otago.ac.nz/hedc/evaluate/profile/index.html</p> <p>Tel: (03) 479 8492</p> <p>Evaluation Office, Quality Advancement Unit:</p> <p>www.otago.ac.nz/quality/evaluate-your-teaching/index.html</p> <p>Tel: (03) 479 7581</p> |
| Guidelines for teaching at Otago | <p>www.otago.ac.nz/staff/otago027122.pdf</p> |
| Evaluating your teaching | <p>www.otago.ac.nz/quality/evaluate-your-teaching/index.html</p> |
| Paper/Course evaluations | <p>www.otago.ac.nz/quality/evaluate-your-teaching/paper-course-evaluation/index.html</p> |
| Coordinator/team leader evaluation | <p>www.otago.ac.nz/quality/evaluate-your-teaching/coordinator-team-leader-evaluation/index.html</p> |
| Peer review of teaching | <p>www.otago.ac.nz/hedc/evaluate/peer-review/index.html</p> |
| Peer review of supervision | <p>www.otago.ac.nz/hedc/evaluate/peer-review/index.html</p> |
| Surveys for small groups | <p>The use of survey tools with small groups of students (10 or fewer) gives rise to concern about confidence in the data and should be used with caution as evidence of quality of teaching. To evaluate small groups of less than 10 students we recommend you combine Student Feedback data from multiple groups using the University's Student Evaluation Questionnaire. Please contact QAU Evaluation Service to arrange this, preferably before you order the evaluations.</p> <p>For further information go to:</p> <p>https://www.otago.ac.nz/hedc/otago621216.pdf</p> |

3.6 RESEARCH, ADVANCING PROFESSIONAL PRACTICE OR COMMERCIALISATION

You have two ways of demonstrating the required performance standard: your CV and your personal statement. Your CV provides a complete list of your achievements. For more information about the CV, see Section 10: [The curriculum vitae](#), Section 11: [The CV – research outputs](#) and Appendix 4: [Curriculum Vitae](#). Your personal statement provides you with a chance to explain the significance of your achievements and to provide evidence which supports your case for promotion.

In your personal statement, tell the committee:

- which publications contribute to achievements since your current appointment or last promotion¹. It should not include research outputs which were accepted but not published at the time of your current appointment or last successful application for promotion. Such publications contributed to your current appointment or previous promotion and will not be considered again. The assessment period starts from the time of your last application for promotion (May of the year of application) rather than the effective date of the promotion (February the following year);
- about the quality and impact of your research outputs/performances, in a manner appropriate to your discipline. This may take the form of excerpts from published reviews, journal rankings, and research metrics. For further information about research metrics see Section 13: [Publicly available information](#);
- about your role in multi-authored documents (clarify your contribution);
- about your most significant publications in the review period;
- the relative standing or status of the journals in which you published and why it was important for you to publish in them;
- 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. For further information, see Section 17: [Creative or performance outputs](#);
- about your postgraduate research supervision as evidence of the quality of your research (Committees find it helpful if you indicate your percentage of supervision);
- about examples of how highly your work is esteemed by your peers and by the community in which you work or research;
- about research collaborations with other colleagues and/or experts in your chosen field or discipline;
- about your contribution to Māori development in research, advancing professional practice or teaching;
- about your contribution to the research environment;
- about applied or contract research you have obtained, such as funding provided by commercial interests, either as a grant or as materials or equipment. For more information, see Section 19: [Applied research](#);
- about any successful commercialisation of research as demonstrated by contract research, intellectual property licensing and spin off companies. You can list your patents in section 10(1) of your CV. Indicate the stage of the patent: provisional, PCT, granted and the relevant dates. For further information, see Section 18: [Commercialisation of research](#);
- about your role in any significant research grant applications, particularly if you are one of a number of named investigators;
- about reviews you have undertaken of journal manuscripts or for grant proposals;
- about your advancement of knowledge and professional practice and/or ways you have contributed to advancing the knowledge and professional practice of others (including, for example, iwi, Māori business or community providers). For further information, see Section 16: [Advancing knowledge and professional practice](#).

Back up your claims with evidence.

Do not include publications which have not been accepted. For further information, see Section 12: [Recent publications](#) and the notes attached to Appendix 4: [Curriculum Vitae](#).

1. If you are applying for promotion to Associate Professor or Professor, you can refer to your full academic career. For further information, see Section 5: [Period of Assessment](#).

3.7 SERVICE TO THE UNIVERSITY AND THE EXTERNAL COMMUNITY

You have two ways of demonstrating the required performance standard: your CV and your personal statement. Your CV provides a complete list of your activities. However, often it is not clear from your CV whether your involvement in an activity such as membership of a committee or journal refereeing is occasional or a significant role. Use your personal statement to highlight your main service contributions and explain your role. The criteria in the promotion schedule provide some ideas on the type of activities you can highlight. Without the explanation in your personal statement, it is hard for committees to assess the standard of your service.

4. DEADLINE FOR APPLICATIONS

Your complete application must reach the Human Resources Manager, Promotions and Remuneration, Human Resources Division no later than **Thursday 2 May 2024, 5.00pm. No additional information may be submitted after that date.**

Your Head of Department will require you to submit your application for comment before the due date. If you are unsure of the departmental deadline, check with your Head of Department. Submitting your application early may allow your Head of Department to give you advice on your application as well as provide an assessment statement for the promotion committees.

You must submit your application in electronic format using the procedure described at www.otago.ac.nz/academic-promotion. You will need to prepare each part of your application separately, naming each file according to the instructions published on the webpage.

Receipt of all applications will be acknowledged by email by 5pm Tuesday 7 May. If you have not received an email by this date then please contact academic.promotions@otago.ac.nz

5. PERIOD OF ASSESSMENT

Your application for promotion is based on evidence within a specific period only. The period of assessment is defined by the promotion you are applying to, or how long you have been in your current role.

FULL-CAREER ASSESSMENT PERIOD

If you are applying for promotion to Associate Professor, Clinical Associate Professor, Research Associate Professor, Professor, Clinical Professor or Research Professor the period of assessment is your full academic record. While this includes previous academic posts at other institutions, you must make sure that you can demonstrate a significant contribution at the University of Otago.

ASSESSMENT PERIOD SINCE LAST PROMOTION OR CURRENT APPOINTMENT

If you are applying for promotion below Associate Professor or in the Teaching Pathway, the period of assessment is the more recent of your current appointment to the University or your last successful application for a significant promotion.

- *Last significant promotion:* the assessment period starts from the time of your application for promotion (usually May of the year you applied) rather than the effective date of the promotion (February of the following year). For the Additional step salary progressions awarded under Schedule 1 do not constitute a significant promotion.
- *Current appointment:* If you currently hold a fixed-term appointment and had prior continuous fixed-term appointments, your assessment period starts when you were first appointed to your current academic title. If you hold a permanent appointment, your assessment period starts from your permanent appointment date. Confirmation path staff have an assessment period since the beginning of the confirmation path appointment.
- *Teaching Pathway:* the assessment period is since appointment or promotion to the current Band.

Single-step salary progressions following a successful performance appraisal do not affect the period of assessment.

ENSURE THAT YOU GIVE EVIDENCE ONLY FROM WITHIN THE PERIOD OF ASSESSMENT

If the period of assessment for your promotion is since your current appointment to the University or your last promotion, you must make it clear which activities contribute to your promotion application. Outputs that were listed in your last promotion or at the time of your application for your position (even if the output was 'in press') should not contribute to your current application. Your Head of Department will confirm which outputs contribute to your application.

It will help the promotion Committee if you highlight in your CV the outputs that contribute to this application.

REAPPLYING FOR PROMOTION

If you are applying for promotion after having an application declined in an earlier round, please note that the Promotion Committees will base the decision on the evidence provided in the current application. In most cases Committee members will not be aware of earlier decisions or the performance ratings which applied to the earlier application. Even if you were assessed as meeting the required standard in a specific area(s) (teaching or research or service) in an earlier application, you are required to convince the committee that you continue to meet the standard and you must include recent evidence of your continuing achievements.

6. EQUITY AND ELIGIBILITY

6.1 EQUITY

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 the principles of the University's Equal Employment Opportunities Policy. For further information, go to:

<http://www.otago.ac.nz/administration/policies/otago003158.html>

All applicants are required to meet the same quality standards at each level of promotion, but the quantity of output in teaching, research and service will be judged relative to situation and opportunity. If your work has been conducted within a Māori research environment the committee will take into account the extra time such work often takes, provided that you explain that to the committee and tell it how your work meets the qualitative criteria. Where your work is carried out with and for specific communities within or outside the University you should also describe the significance of this. You may also consider an Additional Senior Academic Assessment Statement to give context to this aspect of your work – see Section 8.2.

6.2. WAIHO MĀ TE TANGATA E MIHI

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, you may not feel comfortable – for cultural or other reasons – to apply yourself (waiho mā te tangata e mihi; let someone else sing your praises.)

6.3 PART-TIME STAFF AND SIGNIFICANT ABSENCES (INCLUDING PARENTAL LEAVE)

If you are currently, or have been, part-time, or have had a significant absence, whether for parental leave, illness or other cause during the period being considered, the committee will take that into account provided that you outline clearly in your case the specific impact of those particular factors on the volume of your output. Extended absences will be taken into account when considering applications based on the applicant's full career.

6.4 FIXED-TERM AND RESEARCH-FUNDED STAFF

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.

Staff on fixed-term agreements are encouraged to apply for promotion in the annual application round. A staff member cannot be promoted based on the offer of a new fixed-term agreement.

6.5. CONFIRMATION PATH STAFF

Where an applicant is on a confirmation path appointment and is approved for a promotion, early confirmation will not be considered automatically.

Confirmation is a separate procedure that is both a probationary process and a developmental programme with clear performance objectives over the 5-year confirmation period.

Early confirmation is possible in accordance with the Confirmation of Appointment Policy. For further information about confirmation, go to:

<http://www.otago.ac.nz/humanresources/training/academic-staff/confirmation-path/index.html>

7. OUT-OF-SEASON PROMOTION

Because promotion is based on merit, you may not be promoted to higher grades because of difficulties in recruitment and/or retention alone. There are two exceptional circumstances where the University may allow you to make a case that you meet the requirements for promotion by making an application outside the annual application round:

- **A higher job offer elsewhere** – where you have a definite job offer, in writing, for a higher position at an institution of similar standing, but would continue as an employee with the university if you were offered a promotion to the equivalent position at Otago, and there is an exceptional circumstance that has prevented you from applying for promotion in the normal way;
- **Preferred candidate for an advertised vacancy** – where you are the preferred candidate for an advertised vacancy and the offer is made at a higher level than your current or most recent appointment, and there is an exceptional circumstance that has prevented you from applying for promotion in the normal way.

If you believe you have grounds for applying for a promotion out of season, you should discuss this with your Head of Department in the first instance. The delegated approval for out of season promotion is outlined in the Human Resources Authority to Appoint Academic Staff document. If the Approver is satisfied that there is a case for applying out of season, then you may submit an application for promotion.

You will be required to submit a full application demonstrating that you meet the standards and requirements for promotion as outlined in these Guidelines. Applications for promotion out-of-season must be submitted via the Human Resources Division at academic.promotions@otago.ac.nz. Please note that referee nominations will be required for promotion to Associate Professorial and Professorial levels. The Head of Department and Dean (if applicable) are required to provide an assessment statement and to forward the application to Human Resources, who will seek the appropriate approval.

An application for promotion out of season must focus on whether the application meets the standards for a promotion application made in the normal way – it may not focus on the retention or recruitment issue.

In setting out these exceptional circumstances, it is important to note that appointments to academic positions at Otago are made with reference to the standards set in the promotions criteria (the Schedules) and the academic titles guidelines (found at <https://www.otago.ac.nz/humanresources/training/academic-staff/academic-titles>).

8. HEAD OF DEPARTMENT ASSESSMENT STATEMENT

8.1 HEAD OF DEPARTMENT ASSESSMENT STATEMENT

Your Head of Department (Head of School in Humanities) is required to provide a confidential Assessment Statement (Appendix 5: [Head of Department Assessment Statement](#)) for the purpose of determining your suitability for the promotion sought. The Head of Department's role is to provide expert advice to the Divisional Committee and to the Academic Staffing Advisory Committee by verifying the claims you make in your application. The Head of Department is required to forward the complete documentation directly to the Human Resources Manager, Promotions and Remuneration, Human Resources Division to reach the Manager by email at academic.promotions@otago.ac.nz no later than **Thursday 2 May 2024 by 5.00pm**.

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

8.2 ADDITIONAL SENIOR ACADEMIC ASSESSMENT STATEMENT

In some circumstances it will be necessary for you to arrange an additional Assessment Statement from another senior colleague at the University of Otago. Like the Head of Department statement, this is to provide validation and context where an ordinary Head of Department statement would not be sufficient or may create a potential conflict of interest. For example:

- If your Head of Department is the Pro-Vice-Chancellor, you must arrange for the Additional Senior Academic Assessment Statement to be completed instead by another senior colleague who can comment on your area of work.
- If you hold a role (for example, an Associate Dean role) that reports to the Pro-Vice-Chancellor, you may ask the Pro-Vice-Chancellor or another appropriate colleague to provide an Additional Senior Academic Assessment Statement that covers this aspect of your work.
- If your application requires context for work you have done in a Māori teaching or research environment, you may wish to request an Additional Senior Academic Assessment Statement from the Associate Dean (Māori) for your area.
- If your Head of Department is a very close collaborator or has another conflict of interest, you or your Head of Department may ask another senior colleague in the Department or School to prepare an Additional Senior Academic Assessment Statement.
- 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 Senior Academic Assessment Statement.

The Additional Senior Academic Assessment Statement must be completed using the same template and guidelines as the Head of Department Assessment statement (see Section 25.3). You must provide the 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 by email at academic.promotions@otago.ac.nz no later than **Thursday 2 May 2024 by 5.00pm**.

Normally, the Additional Senior Academic statement is referred to the Dean of the Health Science Schools for comment.

The senior colleague is asked to address the same issues as the Head of Department and must use the same documentation as the Head of Department (see [Appendix 5](#)).

All arrangements for Additional Senior Academic Assessment Statements must be notified by email to academic.promotions@otago.ac.nz before the due date.

9. REFEREES

If you are applying for promotion to Associate Professor, Clinical Associate Professor, Research Associate Professor, Professor, Clinical Professor or Research Professor you must name potential referees qualified to evaluate your research. You must give their full contact details (mailing address, email and phone numbers). Please complete the Referees Form (see Appendix 6: [Referees Form](#)) and include it with your application.

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 from whoever it wishes.

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. If you work in a Māori research environment you may nominate a referee to comment on the contribution of your work to Māori communities. It is acknowledged that referees generally 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 commercialisation of research is significant to your application you may include a referee with a commercial background. This referee will be asked to comment on the significance of your commercialisation. The referee with appropriate commercial experience will be treated as a fifth referee, in addition to the four referees from academic organisations.

The following criteria will apply in most cases. If, rarely, they are impossible to satisfy in your case, or if it would be unfair to apply them, you must explain why. Similarly the University recognises that some modification may be needed for staff working in a Māori research environment, where cultural norms and expectations may be different.

You must nominate at least five potential referees. The University will seek reports from four, normally, but not always, selected from your list. If you have nominated a referee to comment on the contribution of your work to the Māori communities, that person must be approached as a fifth referee.

Normally, none of the five nominated referees may be or have been a:

- research collaborator;
- co-author;
- research co-supervisor;

with the applicant in the past five years.

The referee must be of equivalent or higher standing than the promotion sought. If you are applying for Professor, Clinical Professor or Research Professor it is preferable that your nominations are professors. If you nominate a referee to comment on the contribution of your work to Māori communities, you should explain your referee's status in your application.

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).

In exceptional circumstances, the University will accept a referee from the University of Otago. You must provide a statement outlining your referees' particular expertise and your relationship with each of them. 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. If the cultural norms and expectations within which you work make this principle inappropriate you should explain that to the committee and outline why the referee is nonetheless suitable.

Referee reports are considered evaluative material. Referees provide reports to the University on the understanding that the reports will remain confidential to those concerned with considering this appointment, will not be disclosed to the applicant, will not be used for any other purpose.

10. THE CURRICULUM VITAE

The University of Otago CV template is available as Appendix 4: [Curriculum Vitae](#) in this document and on the University web page at: <http://www.otago.ac.nz/humanresources/training/academic-staff/academic-promotion/index.html>

Standard Otago Format required

It is important that you follow the CV format carefully so that Committees are able to refer easily to the evidence you provide. If you already have a CV, it is wise to check it against the CV template to ensure that it is in the required format. Poorly presented or non-standard presentation of information may affect your application for promotion. Ensure that there are no inappropriate details included in your CV or other documentation.

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.

The Schedule of Teaching Responsibilities is now included with the Teaching Profile (see section on [Otago Teaching Profile](#)) for staff who teach.

Where to list research outputs

Check that publications and other research outputs are listed in the correct part of section 10 of your CV. It is strongly recommended that you adhere to the guidance in the next section of this document, [The CV – research outputs](#), to help determine the appropriate section for each type of research output.

List publications in date order, preferably with the most recent publication first.

Please note the following specific advice.

Conference Proceedings papers: pay particular attention to where you list published conference proceedings that are not full papers. Include only those papers that are published in full in the Proceedings accompanying the conference. Abstracts should be listed under the heading *Other Significant Conference Involvement* (CV 10(h)).

Non-research articles: publications such as commentaries, letters to the editor, book reviews and editorials should be listed in CV section 10(d) or 10(f).

Major reviews: the Committee considers a Major Review (Curriculum Vitae standard format Section 10(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.

Details to include with each publication

Publication length: for each publication, provide either pagination details, or a word count (for online publications) to show the length of the work. For online publications, also include the web location.

Describe your contribution: for each publication where you are not the sole listed author (or editor) you must describe your role in the work. This may include details about your contribution to performance of the research and in the writing of the manuscript. In some cases, where you have a very large publication list, it may be appropriate to provide this information for publications for the last five years only or for your most significant publications.

In addition, it is recommended to include a brief preface to the publication list outlining the significance of author order.

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, executive staff should attach copies of evaluative reviews of their performances.

Publications in press

Include only published items or items which have been accepted for publication in the final form. For each yet to be published item please attach to the CV a copy of the publisher's letter advising of acceptance for publication and give an indication as to the word count.

- 'In press' journal publications which have been accepted for publication in their final form at the date the promotion application is submitted.
- 'In press' edited books and monographs should be listed only where a contract has been agreed and the manuscript accepted.

Any other categories of yet to be published material should not be included and will not be taken into consideration by the Committees. Failure to provide evidence of acceptance of publications means that promotion Committees will not include them as part of the case for promotion.

11. THE CV – RESEARCH OUTPUTS

The following table lists and defines the publications and outputs used for PBRF. You may wish to consider using the PBRF categories when determining where to place a research output in your CV (see Appendix 4: [Curriculum Vitae](#)). This section is for your guidance only.

| Cat Code | Category Name | Section in Otago CV | Inclusions and Description |
|----------|----------------------------|---------------------|--|
| A1 | Authored Book – Research | 10 (a) | <p>An Authored Book must be written entirely by a single author or by joint authors who share responsibility for the whole book. Outputs in this category must meet the PBRF definition of research and may include:</p> <ul style="list-style-type: none"> • Research Monographs; • Textbooks based on significant research by the author(s); • Scholarly Editions; • Revisions/New Editions of the above providing this includes substantial new research material; • Novels/Poetry. |
| A2 | Authored Book – Other | 10 (a) | <p>Outputs in this category are not PBRF eligible and may include:</p> <ul style="list-style-type: none"> • Textbooks with no significant research input by the author(s); • Books published by private individuals and privately funded companies, eg. “vanity presses”; • Non-refereed Government Department publications; • Programme reports; • Revisions/New Editions/Translations of all category A2 books and any category A1 books which do not include new material. |
| B1 | Edited Book – Research | 10 (a) | <p>The Edited Book category refers to the editing of a book in which individual chapters have been written by different authors. Outputs in this category must meet the PBRF definition of research and may include:</p> <ul style="list-style-type: none"> • Research Monographs; • Textbooks where significant background research is required; • Scholarly Editions; • Translations of published books where the translation requires significant background research; • Annotated Anthologies where research informs the annotations; • Revisions/New Editions of the above providing this includes substantial new research material. |
| B2 | Edited Book – Other | 10 (a) | <p>Outputs in this category are not PBRF eligible and may include:</p> <ul style="list-style-type: none"> • Textbooks with no significant research content; • Books published by private individuals and privately funded companies, eg. “vanity presses”; • Non-refereed Government department publications; • Programme reports; • Translations of published books with no significant background research; • Revisions/New Editions of all category B2 books and any category B1 books which do not include new material. |
| C1 | Chapter in Book – Research | 10 (b) | <p>The Book Chapter category refers to a contribution to an Edited Book. Outputs in this category must meet the PBRF definition of research and may include entries in:</p> <ul style="list-style-type: none"> • Encyclopaedias and Reference Works; • Research Monographs; • Textbooks incorporating research content; • Scholarly Editions; • Translations of chapters where the translation requires significant background research; • Revisions/New Editions providing this includes substantial new research material. |

| Cat Code | Category Name | Section in Otago CV | Inclusions and Description |
|----------|--|--------------------------|--|
| C2 | Chapter in Book – Other | 10 (b) | <p>Outputs in this category are not PBRF eligible and may include entries in:</p> <ul style="list-style-type: none"> • Textbooks with no significant research content; • Books published by private individuals and privately funded companies; • Non-refereed Government department publications; • Translations of chapters with no significant background research; • Revisions/New Editions of all category C2 chapters and any category C1 chapters which do not include new material. |
| D1 | Journal – Research Article | 10 (c) | <p>Outputs in all Journal categories can include those in on-line journals as well as in print. Publications in this category must meet the PBRF definition of research and may include:</p> <ul style="list-style-type: none"> • Full Research Articles – (which may include research-based articles in professional journals); • Major Reviews; • Letters to Nature; • Critical scholarly texts which appear in article form. |
| D2 | Journal – Research Other | 10 (d) or 10 (f) | <p>Outputs in this category must meet the PBRF definition of research may include:</p> <ul style="list-style-type: none"> • Commentaries and brief communications of original research; • Editorials; • Book Reviews; • Letters to the Editor; • Case Studies. |
| D3 | Journal – Professional and Other Non-Research Articles | 10 (d), 10 (e) or 10 (f) | <p>Outputs in this category are non-research based and are not PBRF eligible and may include:</p> <ul style="list-style-type: none"> • Non-quality assured articles designed to inform a professional field; • Reviews of art exhibitions, concerts or theatre productions; • Case Studies; • Editorials; • Letters to the Editor; • Book Reviews; • Other non-research articles; • Newspaper and Magazine articles. |
| E1 | Conference Contribution – Published proceedings: Full paper | 10 (g) | <p>Outputs in this category must meet the PBRF definition of research and refers to:</p> <ul style="list-style-type: none"> • Full written papers that appear in published conference proceedings; • Includes Extended abstracts. The qualifier [Extended abstract] will be added at the end of the title; <p>The conference proceedings may be published in a number of formats such as:</p> <ul style="list-style-type: none"> • Volume of proceedings; • Special or normal edition of a journal; • Book or a monograph; • CD-ROM; • Website. |
| E2 | Conference Contribution – Published proceedings: Abstract | 10 (h) | <p>Outputs in this category must meet the PBRF definition of research and refers to abstracts of papers that appear in published conference proceedings, including Posters.</p> <p>The conference proceedings may be published in a number of formats as in E1 above.</p> |
| E3 | Conference Contribution – Editor of conference proceedings | 10 (m), 10 (g) or 10 (a) | <p>Outputs in this category must meet the PBRF definition of research and refers to having editorial responsibility of a written conference proceedings for full papers or abstracts/posters.</p> <p>The conference proceedings may be published in a number of formats as in E1 above.</p> |

| Cat Code | Category Name | Section in Otago CV | Inclusions and Description |
|----------|---|---------------------|--|
| E4 | Conference Contribution – Poster Presentation (not in published proceedings) | 10 (h) | Outputs in this category must meet the PBRF definition of research and refers to: <ul style="list-style-type: none"> • Poster presentations at a conference; • Includes Departmental Research/Study Days and PhD colloquiums etc. |
| E5 | Conference Contribution – Verbal presentation and other Conference outputs (not in published proceedings) | 10 (h) | Outputs in this category must meet the PBRF definition of research and may include: <ul style="list-style-type: none"> • Verbal presentations made at a conference including Keynote/Invited addresses; • Other conference outputs not included in above conference categories eg Panel Members, Debate Participant; • Includes Departmental Research/Study Days and PhD colloquiums etc. • Excludes Sessions Chairs, moderators (PE/CRE instead). |
| F | Intellectual Property | 10 (l) | Outputs in this category must meet the PBRF definition of research and may include: <ul style="list-style-type: none"> • Patents; • Copyrights; • Trademarks; • Registered Design; • Other. |
| G | Software | 10 (j) | Outputs in this category must meet the PBRF definition of research and refers to innovative software products of commercial quality and offered for sale or distributed as shareware through a recognised publisher or distributor. |
| H | Commissioned Report for External Body | 10 (d) | Outputs in this category must meet the PBRF definition of research and may include: <ul style="list-style-type: none"> • Reports commissioned and funded by an external organisation; • Peer reviewed Government Department, United Nations and non-governmental organisation publications. |
| I | Performance | 10 (m) | Outputs in this category must meet the PBRF definition of research and refers to works in the performing or media arts by a recognised leading performer (e.g. actor, musician, dancer, director, choreographer, designer, conductor or other creative artist). Performing Arts activities/events may include: <ul style="list-style-type: none"> • Theatre productions (drama, dance, opera, music theatre); • Concerts and Recitals; • Radio or other sound recordings or audio-visual recordings made for public access. |
| J | Composition/Musical Score | 10 (i) or 10 (m) | Outputs in this category must meet the PBRF definition of research and refers to a composition qualifies as research when there is either a score or a recording (in the case of electronic music), or both. Music written for live performance should have evidence of both a score and a performance (e.g. recording, programme or review). |
| K | Design | 10 (k) | Outputs in this category must meet the PBRF definition of research and may include: <ul style="list-style-type: none"> • Fashion and Textile design; • Graphic design; • Visual communication design; • Industrial/Product design; • Interior design; • Multimedia design; • Illustration; • Design history and critical theory. |

| Cat Code | Category Name | Section in Otago CV | Inclusions and Description |
|----------|---|---------------------|--|
| L | Exhibition | 10 (m) | Outputs in this category must meet the PBRF definition of research and refers to original works by an individual artist exhibited in a recognised gallery, museum, artist's book or electronic format. |
| M | Artefact/ Craftwork/ Object | 10 (m) | Outputs in this category must meet the PBRF definition of research and includes: <ul style="list-style-type: none"> • Artefacts; • Objects; • Craftwork. |
| N | Film/Video/ CD-ROM | 10 (i) | Outputs in this category must meet the PBRF definition of research and refers to Scholarly works presented in visual form which cover the presentation of research findings and factual information. |
| O | Creative Work | 10 (m) | Outputs in this category are PBRF eligible and may include: <ul style="list-style-type: none"> • Novels; • Poetry; • Other creative written or audio visual work; • Choreography. <p>[For non-PBRF eligible outputs see also A2, B2, C2, and D3]</p> |
| P | Working Papers; Discussion Papers; Technical Reports; | 10 (d) | Outputs in this category must meet the PBRF definition of research and refers to research papers disseminated to encourage discussion and suggestions for revision before final publication in refereed journals or other outlets. These would normally be in a series produced by departments or research centres, often with an ISSN/ISBN number, and would be made widely available in paper-based or electronic form. |
| Q | Other | As appropriate | This Category may include any outputs that meet the PBRF definition of research and are not categorised above. Examples include: <ul style="list-style-type: none"> • Curator • Factsheet • Government Submission • Public Lecture • Radio Broadcasts • Clinical Guidelines • Department Seminar • Exhibition Catalogue • Inaugural Professorial Lecture |
| Q2 | Journal Editor, Journal Section Editor | 12 (b) (ii) | Outputs in this category must meet the PBRF definition of research and refers to having editorial responsibility for a journal or journal section: <ul style="list-style-type: none"> • Multiple issues of a volume will be shown by [# issues] at the end of the citation; • Special issues will be entered as individual records with the qualifier [Special issue: Subtitle]; • Guest editorships will be entered as individual records with the qualifier [Guest editor]. |
| R1 | Awarded Doctoral Degree | 2 (b) | Staff member's own degree, not those they have supervised. |
| R2 | Awarded Masters Degree | 2 (b) | Staff member's own degree, not those they have supervised. |

12. RECENT PUBLICATIONS

Recently published books or book chapters, by appropriate publishers, as assessed by Promotion Committees, will be considered as part of a promotion application. A lack of evaluative reviews will not necessarily mean that the publication will not be assessed as contributing to the research outputs.

Books, book chapters and journal articles “accepted in final form” for publication will be included in consideration of promotion applications. Please include evidence of the acceptance. Failure to provide evidence of acceptance of publications means that Promotion Committees will not include them as part of the case for promotion.

Journal articles still requiring editing or corrections will not be included in consideration of promotion applications.

An advance contract for a book or book chapter will not be included in consideration of promotion applications.

13. PUBLICLY AVAILABLE INFORMATION

Promotion Committees may consider only the evidence provided by you in your applicant and comments by Heads of Departments and Deans. No other information or knowledge about applicants should be taken into account when reaching a decision. Committee members may access publicly available information that assists them in their understanding of information provided by the applicant. For example, course or paper descriptions, organisation information, publications and academic metrics. Committees are directed that care must be taken not to access information that relates to the performance of the applicant including social or other media, unless referenced by the applicant.

If it is appropriate to your discipline or profession it is strongly recommended that you include research metrics (eg: H indices, impact factors and citations) in your personal statement. Promotion Committees are aware research metrics can vary from discipline to discipline or even within a discipline.

It is your responsibility to provide the evidence and explain the significance of research metrics such as citations, H-index, and impact factor for your research area. Be clear about your sources and note any limitations about the validity of any measures. In assessing your case, Heads of Departments are asked to pay particular attention to your statements about journal status and reputation.

Remember that the Promotion Committee members may refer to research metrics when considering your application. It therefore is in your interest to comment on the significance of research metrics. Failure to provide information about your contribution to publications may weaken your case for promotion.

Remember that research metrics are one part of your case to demonstrate the quality of your work. You still need to demonstrate the impact of your research on the profession, discipline, policy or community.

See [Section 18 Commercialisation of research](#) where research outputs that are confidential or are not yet available in the public domain (for example because of commercial sensitivity) may be considered.

14. PBRF SCORES

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 Departments, Deans, Divisional Committees or Pro-Vice-Chancellors to quote your PBRF score or speculate about future scores in their comments or other documentation.

15. APPLICATIONS FOR PROMOTION TO CLINICAL ASSOCIATE PROFESSOR AND CLINICAL PROFESSOR

If you are a Clinical Lecturer or Clinical Senior Lecturer employed by the University for 0.1FTE or more, you may apply for promotion to Clinical Associate Professor or Clinical Professor. Normally you would be expected to have a University commitment of 0.1 FTE or greater with a minimum teaching load of one half day per week required before your application will be accepted. If you are employed for less than 0.1 FTE and special circumstances apply, you may seek permission to apply from the Deputy Vice-Chancellor (Academic).

To be promoted you will need to show that your academic and professional eminence is such that if you were a permanent University academic staff member you would be likely to be appointed at, or promoted to associate professorial level or professorial level.

You should read this section in conjunction with Section 3: [Preparing your application](#).

The criteria for promotion to Clinical Associate Professor are set out in [Appendix 1, Schedule 5](#) and for promotion to Clinical Professor are set out in [Appendix 1, Schedule 6](#).

Like all other applicants for promotion, you need to provide evidence that you have achieved the required standard in teaching, advancing knowledge and professional practice, and service to the University and community. It is important that you clarify the work that is academic or contributes to an academic role, as opposed to work that predominately part of your clinical practice.

Before you start, you are strongly encouraged to seek advice from colleagues who have applied for promotion in the past or from Heads of Departments. They may be able to guide you in the ways to present your evidence in such a way that the Promotion Committee is able to assess your contribution with confidence.

For promotion to Clinical Professor you will need to demonstrate sustained leadership in at least two areas of:

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

You are encouraged to refer to the promotion criteria ([Schedule 5](#) or [Schedule 6](#)) for advice on areas where leadership can be demonstrated.

TEACHING

Clinicians often undertake relatively little organised teaching for the University. However, you need to provide evidence that you have reached the required standard. Failure to provide evidence of teaching competence means that the Promotion Committees will not be able to assess your performance and, as a result, the application for promotion may be declined.

As a clinician you may be teaching small groups. Collecting student feedback data via questionnaire from small groups of students can be problematic as the lack of confidentiality may inhibit students from making full and frank responses and data from small samples has less validity than larger samples. It is important however, that these groups of students are given the opportunity to provide feedback. It is recommended that you use a process of peer review or combine the questionnaire data from a number of similar small groups into a single set of results. Further information on the options can be found on the HEDC website at <https://www.otago.ac.nz/hedc/otago621216.pdf>

You may need to distinguish between your university teaching and teaching for professional programmes (such as for the College of Surgeons or other examples). You may use your teaching for professional programmes as part of your evidence but your role in the teaching and the significance of evidence of quality of teaching should be fully summarised and explained in the personal statement or your self-evaluation of teaching which forms part of the Otago Teaching Profile. Any documentary evidence of competence in teaching professional papers should not be included with the application itself. Instead, the evidence should be listed in your on-call documents and be available to the Promotion Committees if required.

For further information on the Otago Teaching Profile, see Section 3.5: [Teaching, assessment and curriculum development](#) and Appendix 3: [The Otago Teaching Profile](#) in this document or go to HEDC website: <http://www.otago.ac.nz/hedc/evaluate/profile/index.html>

ADVANCING KNOWLEDGE AND/OR PROFESSIONAL PRACTICE

Research

You should highlight your achievements in research by drawing attention to publications in scholarly journals or the publications of books, book chapters and so on. Use the criteria in [Appendix 1, Schedule 5](#) (Promotion to Associate Professor) or in [Appendix 1, Schedule 6](#) (Promotion to Professor) as a guide to identify appropriate research outputs to highlight (outputs, peer esteem and contributions to the research environment).

Advancing Professional Practice

Advancing knowledge and professional practice is demonstrated by a sustained academic contribution to your profession/discipline. It is not simply performance as a clinician. Examples of advancing knowledge and professional/clinical practice might include:

- providing evidence that your work has advanced or influenced clinical practice;
- academic and professional contribution in roles on government, and/or requests to run information or training sessions for the government, iwi bodies, professions etc which have influenced or changed clinical practice, policy or advanced or expanded knowledge in the profession, field or discipline;
- professional peer recognition of contributions to work in profession, both nationally and internationally;
- fostering the introduction of new technology.

In your personal statement, you need to make it clear which parts of your work constitute advancing professional practice and which parts are service to your profession.

SERVICE TO THE UNIVERSITY, COMMUNITY AND/OR PROFESSION

Given that your University hours are likely to be modest, your application generally will focus on your service to your profession.

Support or involvement in professional activities or organisations would be considered service unless it can be demonstrated that the involvement contributes to an advance in knowledge or changes in clinical practice.

Examples of service to a profession might include:

- supporting and contributing to the promotion of the profession or discipline (including, for example, the revitalization of te reo Māori);
- performance as a practitioner;
- taking a leadership role in a professional association or chairing a professional consultancy would be considered service unless the role generated changes to the profession because of scholarly activity. Being a chairperson of a professional association and maintaining business as usual would be regarded as service.

Explain your service role. It can sometimes be difficult to demonstrate the significance of an activity but without this explanation Promotion Committees will not be able to assess your contribution.

16. ADVANCING KNOWLEDGE AND PROFESSIONAL PRACTICE

Many applicants for promotion are able to provide evidence of their achievement in research and/or advancing professional practice by drawing attention to publications in scholarly journals or the publications of books, book chapters and so on. However, some staff members, particularly those staff members involved in the professions may need to demonstrate that they have advanced knowledge or professional practice in other ways. This section offers some guidance on how Promotion Committees view evidence relating to research, advancing professional practice and service. This section is not intended to be definitive and Committees may interpret these areas more narrowly, or more broadly, depending on the application they are considering.

You must make it very clear in your personal statement which outputs should be regarded as teaching, research, advancement of knowledge or professional practice or service. Generally, you should avoid using one output and claiming it contributes to the achievement in more than one area. Ask yourself, what aspect you will focus on and provide evidence to support your case.

In order for you to demonstrate advances in knowledge and professional practice, you need to show that your intervention has made a significant difference in the profession or discipline. The interventions might include publishing in non-refereed professional publications, presentations at conferences of professionals, consultancies for government agencies or professional bodies or iwi bodies or significant involvement in professional organisations or nationally significant wānanga and/or hui. The key issue is your contribution to the activity and the consequence of the activity; not the activity itself.

You may demonstrate significant achievements in academic research in a number of ways. For example:

- research which results in publication and dissemination in academic and professional journals, monographs, refereed electronic journals and other avenues of publication;
- 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;
- keynote presentations at significant academic conferences or nationally significant wānanga (with an explanation of why the conference, wānanga or hui is significant);
- evidence of peer esteem (awards, competitive grants, editorships, invitations to participate in significant activities, publishing in high ranked professional journals, key note addresses to major conferences etc);
- research collaborations with other colleagues, experts and/or providers in your chosen field or discipline;
- provision of advice about appropriate research methods and approaches.

A professional practice activity that generates academic/scholarly output is research. Examples of such contributions might include:

- applied and contracted research resulting in advances in a field of knowledge or changes in professional practice. It is expected that the academic nature of such work can be independently verified;
- instances of significant artistic, technical or professional performance that have been peer reviewed or critically acclaimed or recognised;
- publications in professional journals which are based on rigorous academic research and supported by an explanation of how it contributes to a significant difference in the profession or discipline.

Advancing knowledge and professional practice is demonstrated by a sustained academic contribution to the profession/discipline. It is not simply performance as a practitioner. Examples of advancing knowledge and professional practice might include:

- providing evidence that your work has advanced or influenced practice;
- academic and professional contribution in roles on government or industry commissions, and/or requests to run information or training sessions for the government, iwi bodies, professions or industries, etc which have influenced or changed professional practice, policy or advanced or expanded knowledge in the profession, field or discipline;
- professional peer recognition of contributions to work in profession, both nationally and internationally;
- productive consultancies with outside groups, resulting in practical outcomes including acceptance by the profession of resources or techniques developed.

Support or involvement in professional activities or organisations would be considered service unless it can be demonstrated that the involvement contributes to an advance in knowledge or changes in professional practice. Examples of service to a profession might include:

- supporting and contributing to the promotion of the profession or discipline (including, for example, the revitalization of te reo Māori);
- performance as a practitioner.

Taking a leadership role in a professional association or chairing a professional consultancy would be considered service unless the role generated changes to the profession because of scholarly activity. Being a chairperson of a professional association and maintaining business as usual would be regarded as service.

It can sometimes be difficult to demonstrate the significance of an activity but without this explanation Promotion Committees will not be able to assess your contribution to advancing knowledge and professional practice.

17. CREATIVE OR PERFORMANCE OUTPUTS

Many applicants for promotion are able to provide evidence of their achievement in research and/or advancing professional practice by drawing attention to publications in scholarly journals or the publications of books, book chapters and so on. However, some staff members may support an application for promotion by providing evidence about their creative or performance outputs. This section is not intended to be definitive and Committees may interpret these areas more narrowly, or more broadly, depending on the application they are considering.

Remember that it is likely that the Promotion Committees may not be familiar with the type of work you do. You will need to explain the context and significance of your work, as well as details of any contractual agreement.

You may demonstrate significant achievements in academic research in a number of ways. Examples of creative or performance outputs might include:

- writing compositions and/or producing songs that receive national air play on well-known commercial radio stations;
- writing compositions or songs that are performed at a major venue in New Zealand and/or overseas;
- securing a performance, recording or publishing contract with a verifiable national or international professional company or organisation;
- performing or directing at major venues in New Zealand or overseas;
- producing a professional recording on CD or for digital download of original material (either live or in studio), and released or distributed by an established record company;
- presenting research to wider public audience at appropriate forums nationally or internationally (eg performances, master classes, workshops, seminars or other performance based outputs);
- contributing to the advancement of artistic practice through performance as a soloist, conductor or director, as evidenced by published scholarly or critical reviews in reputable media;
- participating on film, television, digital media or text project by recognized production company, or independent film or television production company;
- broadcasting a work through a reputable media company;
- directing project or performance on national/international film, television, radio or internet;
- publishing play or performance texts with recognized publisher;
- being included in major national/international festivals, as evidenced by published scholarly or critical reviews in reputable media;
- being recognised by prestigious awards.

As you prepare your personal statement, think about research as a process of investigation. It leads to the making of an output that provides the gaining of knowledge and understanding. This statement holds for all kinds of research output: a monograph or article, a conference paper, a finished sculpture, a novel or poem, the performance of a Beethoven sonata or of Shakespeare's *Hamlet*, an exhibition of photographs or a recording of musical compositions. In many cases, it may be helpful to explain the investigation process.

Musical composition may be acceptable as research, but performance, although named, must yield new or substantially improved insights in order to qualify as research. Public music performances can be recognised as individual publications if content is entirely different on each occasion. If there are several performances of the same, or substantially the same, programme the most prominent performance should be cited.

As you prepare your application you need to provide evidence of quality. You must show that your outputs have been subject to some form of formal independent scrutiny. The evidence may include:

- providing reviews by peers and connoisseurs who are able to judge the performance from their experience of hearing or seeing other performances;
- comments in your personal statement on the quality of the publisher or recognised label (e.g. Sony is considered a high quality music publisher);
- comments in your personal statement on the quality of venues where you performed (local, national or international venues);
- comments in your personal statement on your professional reputation or your recognition as an expert in a particular area or field or specialty;
- copies of contracts or commissions should be included.

If you prepared a commentary on your four nominated research outputs for PBRE, you already will understand how to describe the quality and context of your work.

18. COMMERCIALISATION OF RESEARCH

Many applicants for promotion are able to provide evidence of their achievement in research and/or advancing professional practice by drawing attention to publications in scholarly journals or the publications of books, book chapters, conference papers and so on. Research does not need to be restricted to theoretical inquiry and may include investigation of an applied or translational nature. This may include knowledge/technology transfer for commercialisation of research.

Commercialisation is the process of developing research discoveries to the point where the rights to use those discoveries can be formally transferred. It normally involves a financial transaction or benefit.

Applicants may demonstrate the required standard in research by providing evidence that they are active and successful in knowledge transfer from research activities and linkages with industry. This section offers guidance on how Promotion Committees view evidence relating to commercialisation of research.

Commercialisation occurs when an invention is made either independently by the researcher or, more usually, using research or industry funds. In the case of research funding the University owns the resulting Intellectual Property (IP) and the researcher and University manage the commercialisation process. In some instances, where governmental or industry funding is involved, the University may transfer Intellectual Property rights to a commercial partner in order to receive commercial benefits such as lump sum or royalty payment.

Applicants must demonstrate that the intellectual property underlying the commercialisation is driven by original research and that their inventions are considered novel. This may include the application of existing science or expertise to a new problem, need, or application, thereby creating new knowledge such as the experimental development of design or construction solutions, as well as investigation that leads to new or substantially improved materials, devices, products or processes.

Research outputs that are confidential or are not yet available in the public domain (for example because of commercial sensitivity) may be considered.

Success in commercialisation normally is demonstrated by:

- contracts or deals with companies or other external organisations;
- a return on investments;
- products, processes or services applied in the market;
- patents, but only where applicants can demonstrate that adequate quality assurance has been put into place via Otago Innovation or reputable commercial enterprises. The quality assurance process helps Promotion Committees to assess the impact and significance of the patent;
- spin off companies although they may not necessarily be successful as business ventures.

Like all other applications for promotion, sustained performance is required. Therefore, a case based primarily on commercialisation will need to demonstrate the ability to commercialise research on a sustained basis.

Typically, applicants will have other academic outputs which will provide a benchmark. Given the long timeframes to commercialise research, having other academic outputs may allow applicants to apply for promotion sooner than if the application is focused exclusively on commercial outputs.

Industry engagement via research contracting typically is not regarded as commercialisation although it can complement and strengthen an application for promotion. Industry engagement means that any invention that result typically is made as part of a pre-existing research agreement with the company, and the commercialisation is therefore something managed and led/funded by the company rather than the University or University researcher. It is an achievement to partner with industry successfully, with useful criteria of success being length of engagement, quality of engagement (including patents filed by the company as part of the research agreement), the amount of research funds invested in the University, and the number and diversity of company partners. Industry engagement can form part of an application but it is unlikely to be enough to form the basis of an application on its own merits.

Promotion Committees continue to develop expertise and knowledge in considering applications for promotion which include commercialisation of research. However, it is very important that applicants provide guidance and explanation about their commercialisation activities.

Applicants should provide details about Intellectual Property licensing including patents (indicate the stage of the patent: e.g. provisional, PCT or national/regional phase including a complete list of jurisdictions where the application has been filed, the date of filing and application number, and grant details including date of grant and patent number where grant has occurred) and contribution to inventions. Even a patent that is granted but has not led to a product or service is not in itself an output. The patent is a step on the pathway towards the output. The applicant needs to demonstrate a strategic intent to commercialise the invention.

Peer esteem may be demonstrated by significant invitations to company meetings.

Contribution to the Research Environment may be demonstrated by:

- Publishing in industry journals;
- Influencing or advancing industrial/commercial practice.

Evidence should be selected so as to demonstrate the significance, quality and impact of the research. Outline your achievements in commercialisation in your personal statement.

In some circumstances, the Academic Staffing Advisory Committee may seek a confidential independent evaluation of an application for promotion based on commercialisation of research.

19. APPLIED RESEARCH

Many applicants for promotion are able to provide evidence of their achievement in research and/or advancing professional practice by drawing attention to publications in scholarly journals or the publications of books, book chapters and so on. However, some staff members may support an application for promotion by providing evidence about how their research has been applied to practices, technologies or policies. The effective application of academic research to social or environmental issues may be a substitute for peer review.

This section offers some guidance on how Promotion Committees view evidence relating to applied research. This section is not intended to be definitive and Committees may interpret these areas more narrowly, or more broadly, depending on the application they are considering.

In order for you to use applied research to support your application for promotion, you need to show that your research has made a significant difference to social or environmental issues. Evidence should be selected so as to demonstrate the significance, quality and impact of your research. Example of applied research outputs might include:

- commissioned reports for external bodies;
- confidential reports for external bodies;
- software;
- technical report;
- working papers;
- research outputs adopted in environmental or social practice;
- new techniques or improved techniques which have been accepted by the community or organisations within it.

As you prepare your application you need to provide evidence of quality. You must show that your outputs have been subject to some form of formal independent scrutiny. The evidence may include:

- independent feedback on the quality of reports or software;
- comment in the personal statement on the dissemination of research to end users;
- comment in the personal statement on practical applications of research by end users;
- comment in the personal statement on changes in organisational practice or policy;
- comment in the personal statement of the benefits of your applied research to the environment and the extent of the benefits;
- comment in the personal statement on the benefits of systems or products;
- comment in the personal statement on the solutions accepted and adopted by the community or organisations.

The Promotion Committee will consider scale, time span of research, overall impact and community perceptions and responses.

20. ACADEMIC LEADERSHIP

This section is based on the Academic Leadership Framework, available at www.otago.ac.nz/humanresources/otago665239.pdf

For promotion to senior positions, but particularly for promotion to Professor, Clinical Professor or Research Professor, the University regards leadership as an essential attribute for those roles as identified in the overall assessment ratings. Nevertheless, the University recognises that leadership skills can be displayed by staff at all levels. The Academic Leadership Framework illustrates that it is possible to find examples of leadership outside of formal leadership roles. The following points are provided to assist applicants for promotion at all levels to highlight examples of leadership:

- outstanding improvement of teaching methods;
- continuing outstanding commitment to engagement in a scholarly field, through editorship or editorial board membership;
- effective and sustained contribution in key administration roles for conferences or national wānanga or hui;
- generating collaborative research programmes within the University and/or with external bodies such as industry and other tertiary institutions;
- exceptional ability to inspire high academic endeavour;
- leading the development and implementation of methods of quality assurance in research;
- contributing to public debates on issues of importance in the community;
- playing a leadership role in the professional development of others, such as acting as a mentor;
- demonstrating the fostering of collegiality among the staff members of the Department/School;
- development and implementation of health and safety measures in teaching and research.

As outlined by the Academic Leadership Framework, there are five essential, generic attributes of leadership which you may draw from in your application for academic promotion. The extent to which these strengths are developed and manifest in an individual will depend upon role, seniority and experience.

Personal qualities and leading by example

- *Acting with integrity and professionalism and being committed to University values and priorities.*
- *Displaying flexibility and innovation to handle uncertainty and change.*
- *Seeking constant improvement and being open to constructive feedback.*

Inspiring a shared vision and establishing strategic goals (Sets Direction)

- *Supporting the implementation of University strategic goals.*
- *Identifying key factors and inspiring people to have a shared sense of purpose.*
- *Enabling others to contribute to developing priorities and direction, and valuing and acknowledging those contributions.*

Enabling people to succeed

- *Fostering a healthy, fair and inclusive work and learning environment.*
- *Fostering development of colleagues and students, groups and future leaders.*
- *Communicating well with colleagues and students, developing and maintaining relationships based on trust, respect and fairness.*

Making sound and timely decisions

- *Showing integrity, fairness and consistency in decision-making.*
- *Identifying issues, opportunities and problems in a timely manner.*
- *Seeking relevant facts and advice, and consulting appropriately.*

Taking action to achieve goals

- *Identifying and organising people, resources and processes to achieve strategic goals.*
- *Delegating equitably and effectively, leaving scope for creativity and personal style.*
- *Providing considered, effective and fair advocacy to senior management for the interests of colleagues and students.*

Underpinning academic leadership is the University's commitment to the Treaty of Waitangi and its guiding principles, values and strategy. Implicit within these is excellence in both research and teaching, commitment to achieving outstanding student experiences, acting as a local, national and global citizen, as well as strong external engagement.

This section is a summary only; applicants are encouraged to read the Academic Leadership Framework in full.

21. LESSER PROMOTIONS AND SALARY PROGRESSIONS

If your application is unsuccessful, Divisional Committees will consider your application for a lesser promotion if one is available. If this is a possibility for you, please be aware that the assessment period for the lesser promotion may be different in some cases (for example, if you are unsuccessful in an application for promotion to Associate Professor, but considered for a lesser promotion to Senior Lecturer above the bar). See Section 5: [Period of Assessment](#), for more information.

If your application for promotion is unsuccessful, you will still be eligible for a salary progression where it applies. This is a separate annual or biennial academic review process and is not decided by promotions committees. See <https://www.otago.ac.nz/humanresources/training/academic-staff/performance-and-salary-review> for more information.

22. REAPPLYING FOR PROMOTION

If you unsuccessfully applied last year for promotion to a level below Associate Professor, you may reapply for promotion this year.

If you are applying for promotion after having an application declined in an earlier round, please note that the Promotion Committees will base the decision on the evidence provided in the current application. In most cases Committee members will not be aware of earlier decisions or the performance ranking which applied to the earlier application. Even if you were assessed as meeting the required standard in a specific area(s) (teaching or research or service) in an earlier application, you are required to convince the Committee that you continue to meet the standard and you must include recent evidence of your continuing achievements.

If you unsuccessfully applied last year for promotion to Associate Professor, Clinical Associate Professor, Research Associate Professor, Professor, Clinical Professor or 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). Your request must set out the changes in your circumstances which have significantly improved the probability of promotion.

23. FURTHER INFORMATION ABOUT APPLYING

You can obtain information by phoning (03) 479 8266 or by emailing academic.promotions@otago.ac.nz

Copies of this document including appendices are available on the University of Otago Website at:
<http://www.otago.ac.nz/humanresources/training/academic-staff/academic-promotion/index.html>

The Human Resources Division organises Planning for Academic Promotion information sessions to assist those staff considering applying for promotion. Sessions are scheduled for:

| DATE | TIME | TARGET AUDIENCE * |
|--------------------|-----------------|-----------------------------|
| Wednesday 6 March | 12pm to 1pm | Division of Sciences |
| Thursday 7 March | 1pm to 2pm | Division of Humanities |
| Monday 11 March | 11am to 12pm | Division of Health Sciences |
| Tuesday 12 March | 12pm to 1pm | Division of Health Sciences |
| Wednesday 13 March | 11am to 12.30pm | Māori staff |
| Thursday 14 March | 2pm to 3pm | Division of Commerce |
| Thursday 14 March | 5pm to 6pm | Division of Health Sciences |
| Friday 15 March | 1.30pm to 3pm | Pacific staff |

Although each session is targeted at a particular division/Māori staff/Pacific staff, anyone from any division may attend any workshop that suits them.

Please register to attend the particular session via the links

Planning for Academic Promotion

Planning for Academic Promotion Māori staff

Planning for Academic Promotion Pacific staff

If you are unable to attend one of these sessions we recommend watching the video “Guidance on Applying for Promotion” on the Human Resources website: <https://www.otago.ac.nz/humanresources/training/academic-staff/academic-promotion#applying-for-academic-promotion>

24. APPEALS

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 a concern about procedure, the process is as follows:

1. The staff member discusses concerns with Pro-Vice-Chancellor, where possible.
2. The staff member notifies the Manager, Promotions and Remuneration, Human Resources that they are considering an appeal.
3. Within two weeks of advice of the promotion decision, if the staff member considers that there is a procedural failure that is so significant that it may have affected the decision, they lodge notice of the appeal with the Manager, Promotions and Remuneration, Human Resources.
4. Within four weeks of advice of the promotion decision, the staff member submits the written appeal document to the Manager, Promotions and Remuneration, Human Resources.

The written appeal document is limited to one A4 page. In the appeal document, the appellant describes the procedural failure by detailing the part of the process in which the failure occurred, giving reference to policy or procedure in the Academic Staff Promotions Guidelines. No new information may be introduced that relates to the content of the promotion application. No part of the original application may be resubmitted.

Appeals against the decision not to promote are considered by an Appeal Committee. For applications where the decisions were made by the Academic Staffing Advisory Committee or the Special Advisory Committees which consider promotions at the professorial level, the Appeal Committee usually comprises at least two senior academics who have previously been members of the Academic Staffing Advisory Committee or Divisional Promotion Committees. They will be appointed by the Vice-Chancellor. They normally meet during December.

For applications where the decisions were made by the Divisional Promotion Committees, the Academic Staffing Advisory Committee will consider appeals. It normally meets during December.

The Appeal Committees will review all papers relating to the promotion application but are not required to meet with the applicant. The Committees may request further information or clarifications through the Human Resources Manager, Promotions and Remuneration. New information relating to the application will not be considered.

The applicant will not appear before or have other direct contact with the Appeal Committee unless requested to do so as part of the information seeking process.

Human Resources will provide a report to the Vice-Chancellor.

The decision of the Vice-Chancellor will be final.

Part B

GUIDANCE FOR HEADS OF DEPARTMENTS/DEANS

25. ROLES OF HEADS OF DEPARTMENTS/DEANS

25.1 ROLE OF THE HEAD OF DEPARTMENT/DEAN

As Head of Department or Dean, your role is critical to Divisional Committees and the Academic 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;
- ensure that Māori staff, who may feel that it is whakahihi (boastful) to apply for promotion unbidden, are properly mentored about an appropriate timing and level of an application;
- advise staff, as required, on the appropriateness of an application, or on the level of promotion they should seek. Please note, however, that the final decision about applying and level sought is made by the staff member;
- 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 **Thursday 2 May 2024, 5.00pm**. This date should be set to allow time for you to provide feedback and suggestions to the applicants, as well as completing the assessment statement;
- ensure that the documentation submitted to you is complete;
- validate and assess applications by your staff; and
- provide for Divisional Promotion Committees and the Academic Staffing Advisory a context for research metrics, if appropriate. For example, it would be helpful for Committees to know what constitutes a satisfactory H-index in your discipline.

In addition, you or another senior staff member should be mentoring staff who are planning for promotion and assisting Māori staff to reach that decision. Discussion on applying for promotion should ideally start in September or October of the previous year.

It is important to note that promotion is one aspect of the on-going academic development which occurs in each Division.

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

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.

25.2 DOCUMENTATION

The application documents required by applicants are set out in Section 3.2: [Documentation Required](#). You should ensure that the documentation submitted by applicants is complete and correct including ensuring that:

- a full Otago Teaching Profile is provided, that it complies with the requirements in Section 3.5, and that the on-call documents are submitted, to be held by you or your delegate.
- 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 applications are submitted.

25.3 ASSESSMENT STATEMENT

You are required to provide a confidential Assessment Statement (Appendix 5: [Head of Department Assessment Statement](#)) for the purpose of determining the suitability of the staff member for the promotion sought. This guidance also applies to the Additional Senior Academic Assessment Statement.

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

- the student and course evaluations of teaching and compare them with the expectations for the Department or Division;
- recent peer evaluations of teaching;
- 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 (reviewing both the teaching aspects of the role and the research aspects of the role);
- the quality of distance teaching;
- the quantity of achievements in relation to the applicant's fractional appointment, periods of absence or reduced hours;
- the quantity of achievements in relation to the applicant's work in relation to Māori communities;
- how the staff member is rated by peers in his or her discipline;
- the applicant's contribution to the research environment;
- research metrics in your discipline (if appropriate); 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.

25.4 DEANS IN THE DIVISION OF HEALTH SCIENCES

Deans in the Division of Health Sciences may either endorse the [Head of Department Assessment Statement](#) (Appendix 5) or write a separate comment on the application. Deans may also wish to comment/endorse any Additional Senior Academic Assessment Statements.

25.5 CONFIDENTIALITY OF THE ASSESSMENT STATEMENT

You are encouraged to discuss the application and provide feedback to the staff member before preparing the statement. You may wish to share your statement with the staff member at the time you submit it. It is also acceptable to keep your statement confidential, but please be aware that once the applicant has been notified of the decision on their application, the University is obliged to release your statement if the applicant requests it. If you do decide to keep the statement confidential, it should be marked Confidential and include a statement such as the following:

I provide this evaluative statement on the understanding that it will remain confidential to those concerned with considering this promotion until the applicant is notified of the promotion decision and that it will not be used for any other purpose.

25.6 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, you must advise the Pro-Vice-Chancellor at least one month before the due date for applications. 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.

25.7 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 Dean 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, you must advise the Pro-Vice-Chancellor at least one month before the due date for applications. Normally, the Pro-Vice-Chancellor will arrange for another appropriate senior staff member to provide the confidential Assessment Statement for the staff member.

25.8 FURTHER INFORMATION

If you are new to this role, you should seek help or support from your Dean or Pro-Vice-Chancellor, as appropriate, or you may seek training provided by Human Resources.

You can obtain information by phoning (03) 479 8266 or by emailing academic.promotions@otago.ac.nz

Copies of this document including appendices are available on the University of Otago Website at:

<https://www.otago.ac.nz/humanresources/training/academic-staff/academic-promotion/index.html>

Part C

GUIDANCE FOR PROMOTION COMMITTEES

26. ROLE OF DIVISIONAL PROMOTION COMMITTEES AND TEACHING PATHWAY PROMOTION COMMITTEE

26.1 ROLE OF DIVISIONAL PROMOTION COMMITTEES

26.1.1 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, only 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 reports for student evaluations of teaching or other forms of evidence of teaching competence may invalidate the application (except in the case of research only staff) as the Committee may not be able to provide a rating for teaching. 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 or Postdoctoral Fellow to Research Fellow;
- from Lecturer to Senior Lecturer;
- to Senior Research Fellow;
- beyond the bar in the Senior Lecturer (Non-Medical/Dental) scale;
- beyond the bar in the Senior Lecturer (Medical/Dental) scale;
- additional increments within Lecturer, Research Fellow, Senior Lecturer, Senior Research Fellow and Teacher Education Fellow salary scales – one additional step only.

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

- Associate Professor;
- Research Associate Professor;
- Clinical Associate Professor;
- Professor;
- Research Professor;
- Clinical Professor;
- additional increments within Lecturer, Research Fellow, Senior Lecturer, Senior Research Fellow and Teacher Education Fellow salary scales – more than two steps.

26.1.2 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 the Academic 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. Ideally, two thirds of members of the Committee should have prior experience on Committees. The Human Resources Division will maintain a register of committee members and provide it to Pro-Vice-Chancellors for their information.

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. Committees should not have more than one person from the same Department.

- Two senior staff members from outside the Division, nominated by the Vice-Chancellor, who have also had experience on Academic 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 ideally be chosen by the University as follows:

| | |
|-----------------------------|--------------------------------|
| Commerce | Health Sciences and Sciences |
| Health Sciences Committee A | Sciences and Commerce |
| Health Sciences Committee B | Sciences and Humanities |
| Humanities | Commerce and Health Sciences |
| Sciences | Humanities and Health Sciences |

However, on occasion the Divisions that the external representatives come from may be altered to ensure a better gender balance on the Divisional Committee.

*Each of these representatives will also serve on their own Division's Promotion Committee. Pro-Vice-Chancellors must advise the Human Resources Division of the composition of their Divisional Committee no later than **8 March 2024**. The Human Resources Division will seek approval from the Vice-Chancellor for the nominations.*

- Appropriate observer status for the Tertiary Education Union (TEU) and Equal Employment Opportunities (EEO) observers will be maintained.

Please note that provision is made to allow the Divisional Committee to be increased in number to ensure that at least one woman is included in every Divisional Promotion Committee.

26.2 ROLE OF TEACHING PATHWAY PROMOTION COMMITTEE

The Teaching Pathway Promotion Committee considers applications in Schedules 15, 16, 17, 18, 19 and 20, for Teaching Fellow, Professional Practice Fellow, Senior Teaching Fellow and Senior Professional Practice Fellow. This committee is chaired by the Vice-Chancellor and constitutes the four Pro-Vice-Chancellors and their nominees.

The Vice-Chancellor has delegated decisions on Schedules 15 to 20 to the Deputy Vice-Chancellor (Academic) advised by this Teaching-only Promotion Committee.

The below sections in section 26 (except 26.1.1, 26.1.2 and 26.12) also apply to the Teaching Pathway Promotion Committee.

26.3 OBSERVERS

Tertiary Education Union (TEU) observers and Equal Employment Opportunities (EEO) observers will be present. Observers may report back to the Committee with commentary and suggestions. Eligibility to be an observer on a promotions committee is restricted to staff members of the University of Otago who are not applying for promotion in the current round. Observers cannot sit on the promotion committee for their own division.

26.4 TIMING OF THE MEETINGS

Divisional Committees generally meet in June in order to ensure that the Minutes are submitted to the Human Resources Division by **the end of June**.

Pro-Vice-Chancellors must ensure that their Divisional Committee meeting dates do not occur on the same day as that of other Divisions.

26.5 INFORMATION SESSIONS FOR NEW COMMITTEE MEMBERS

Human Resources will hold briefing sessions for new 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:

<http://www.otago.ac.nz/administration/policies/otago003006.html>

26.6 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, if appropriate.

Divisional Committees may consider only the evidence provided by applicants and comments by Heads of Departments and Deans. No other information or knowledge about applicants should be taken into account when reaching a decision. Committee members may access publicly available information that assists them in their understanding of information provided by the applicant. For example, course or paper descriptions, organisation information, and academic metrics. Care must be taken not to access information that relates to the performance of the individual including social or other media, unless referenced by the applicant.

Divisional Committees 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 sustained outstanding competence (SOLC)). If the Committee is unable to agree on a rating, the various views should be set out in the Minutes.

Committee members who believe they may have a conflict of interest with an applicant must raise this with the Committee Chair prior to the Divisional Committee meeting. The reasons for a potential conflict will vary but may include working in the same department, having collaborated on research projects, or having a close personal relationship etc. Provisions relating to conflicts of interest apply to all committee members, observers and the Committee Chair. Where the Committee Chair needs to leave the room, a Deputy Chair may be nominated.

Once advised, the Chair has the discretion to decide on the required action to be taken. When deciding on the significance of the conflict of interest, the Chair will consider the circumstances particular to that individual, and the risk, perceived or real, that a committee member may stray into advocacy for the applicant. Possible actions for managing a conflict include, but are not limited to, the committee member leaving the room, refraining from comment, or declaring the conflict to the committee.

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 Departments (and Deans where applicable) will only be called before Divisional Committees if there are points requiring clarification. Heads of Departments may bring along a colleague with relevant expertise, if required. External referees' reports may be sought if it is considered necessary by the Committee or the Heads of Departments.

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 Departments 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 Departments should not advocate on behalf of their staff.

26.7 APPLICATIONS FOR PROMOTION BY STAFF WHO ARE PART-TIME OR HAVE HAD PROLONGED ABSENCES

Divisional Promotion Committees will take into account the impact of the reduced hours on the quantity of the research output and the teaching and service commitments of staff applying for promotion who are in a part-time position or have had a prolonged absence or prolonged reduction in hours and/or have taken parental leave. Applicants will still be required to meet the same quality standards as other applicants for the promotion.

The key issue is evaluating their performance relative to their opportunity. Is the quality and quantity of their work appropriate to their circumstances?

For example, part-time staff should tell the Committee roughly how much time is allocated to teaching, research and service (or research and service in research only roles). Essentially applicants should specify the weightings that the Committee should ascribe to each of the performance areas. The Head of Department should confirm that the time allocations/weightings have been agreed and are correct. Using this information, Committees will determine whether the applicants' achievements reach the appropriate standard relative to their opportunities to achieve them.

Committees need to consider if the role of part-time staff outside the University in any way contributes to or detracts from the University output. For example, does part-time professional work staff undertake outside the University contribute directly or indirectly to their University role?

26.8 PREVIOUS APPLICATIONS

For the purpose of consistency, Human Resources will provide Pro-Vice-Chancellors with ratings and a copy of any applications made by applicants who applied last year and who are reapplying this year. This information will normally not be made available to Committee members unless there is an inconsistency in the performance rating. In that case the Pro-Vice-Chancellor may ask the Committee to review its decision, noting that it is under no obligation to revise its ratings because of decisions made by earlier Committees. In the event that the current application has lower ratings than those for the previous application, the application must be referred to the Academic Staffing Advisory Committee for a decision.

There may be occasions when a Committee may wish to clarify if outputs were counted towards a previous promotion application or contributed to the appointment. Human Resources holds copies of applications for promotion for the past five years. Copies are available to Committee members on request by phoning 8266. Older applications are available but will need to be recovered from the archives. Copies of CVs submitted with an application for the position also are available on request.

26.9 LESSER PROMOTIONS

In cases where Divisional Committees recommend a substantial promotion to the Staffing Advisory Committee, they should also consider alternative lesser promotions. Such alternative lesser promotions will involve a promotional step for which the decision has been delegated to the Divisional Committee

Unsuccessful applicants will not be considered by the Committee for salary progression. Instead their salary will be reviewed as part of the annual or biennial review process.

26.10 CITATION INDICES

Applicants are expected to provide evidence of the quality and impact of their research outputs/performances, in a manner appropriate to their discipline. This may take the form of excerpts from published reviews, journal rankings, citations, H indices and so on. It is the applicant's responsibility to provide this evidence and explain its significance. In assessing the case, Heads of Departments are asked to pay particular attention to the applicant's statements about journal status and reputation but should provide comment only on the evidence that the applicant has chosen to present. However, if it is appropriate and in order to help Committees, Heads of Departments are asked to provide a context for research metrics in their discipline. For example, Heads of Departments may advise the Committee what constitutes a satisfactory H-index in the profession. Divisional Committees should only use the evidence presented to them to inform their decision about the application. For further information, see Section 13: [Research Metrics](#).

26.11 DIVISIONAL COMMITTEE MINUTES

Committees are asked to submit the Minutes using the form provided by the Human Resources Division.

Both decisions made within the Divisions and comments and recommendations on applications to be considered by the Academic Staffing Advisory Committee must reach the Human Resources Manager, Promotions and Remuneration, Human Resources Division by **28 June 2024**. Divisional Committees are to minute the assessment of each applicant in the areas of Teaching, Research and Service (as applicable). This advice is critical in informing the Academic Staffing Advisory Committee in their deliberations.

Decisions relating to Schedule 1 applications (Additional Increments) should not include a performance rating such as SC because the Committee is not asked to rate applicants in this way.

Recommendations to the Academic 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. While the Academic Staffing Advisory Committee is able to seek referees' reports on the research to aid its decision-making, the Divisional Committee's advice on Teaching and Service is critical.

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 two committee members leave the room while an application is being considered because of conflicts of interest, the remaining members should make a recommendation and refer the application to the Academic Staffing Advisory Committee for final decision;
- if the recommendation for promotion or progression is a majority vote as opposed to a unanimous one, the Academic 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 Academic Staffing Advisory Committee reserves the right to review the recommendation;
- where there is 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, Academic 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 Academic Staffing Advisory Committee should be advised to this effect, together with the reasons;
- if applicants have applied in consecutive years and the performance ratings are lower this year compared to last year (see [Section 25.8](#)).
- if the Divisional Committee wishes for particular comments to be included in the letter notifying the applicant of the outcome, the proposed comments should be included in the minutes. This may occur for both successful and unsuccessful applications.

The Academic 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.

26.12 NOMINATING REFEREES

Applicants for promotion to Associate Professor, Clinical Associate Professor, Research Associate Professor, Professor, Clinical Professor and Research Professor must provide a list of potential referees qualified to evaluate their research. The University will seek reports from four, normally, but not always, selected from the list.

If the applicant has nominated a referee to comment on the contribution of their work to Māori communities, that person must be approached as a fifth referee.

If the applicant has nominated a referee with a commercial background to comment on the significance of commercialisation of research, that person must be approached as a fifth referee.

The following criteria will apply in most cases. If, rarely, they are impossible to satisfy in the applicant's case, or if it would be unfair to apply them, the applicant must explain why. Similarly the University recognises that some modifications may be needed for applicants working in a Māori research environment, where cultural norms and expectations may be different.

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).

Pro-Vice-Chancellors must ensure that the nominated referees are genuinely of a calibre to assist the Committees. Ideally, referees will be from institutions, faculties or departments of similar standing to Otago. 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 Academic Staffing Advisory Committee by **28 June 2024** names and full contact details (including phone numbers and e-mail 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.

In exceptional circumstances, the University will accept a referee from the University of Otago.

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

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 , normally, none of the five nominated referees may be or have been a:

- research collaborator;
- co-author;
- research co-supervisor;

with the applicant in the past five years.

In addition the referee may not be a close personal friend of the applicant and must be of equivalent or higher standing than the promotion sought. If the applicant nominates a referee to comment on the contribution of their work to Māori communities, the applicant should explain the referee's status in their application.

Given that the list of referees nominated by applicants is provisional only, no Head of Department, Dean or Pro-Vice-Chancellors should contact nominated referees to ascertain their availability or for any other reason relating to the promotion application. The Human Resources Division contacts the referees after the Academic Staffing Advisory Committee has chosen them. Human Resources does not provide the applicant the names of referees selected.

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

Referee reports are considered evaluative material. The reports are provided on the understanding that they will remain confidential to those concerned with considering this appointment and will not be used for any other purpose.

26.13 NOTIFICATION OF DECISIONS

1. No applicant should be notified of the promotion decision until **the week ending 11 October 2024**.
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 Academic Staffing Advisory Committee.
3. All successful applicants for promotion will receive formal notification from the Human Resources Manager, Promotions and Remuneration, Human Resources Division at the end of the promotion exercise. Human Resources will prepare decision letters for the Pro-Vice-Chancellors, Deputy Vice-Chancellor and Vice-Chancellor to sign. These will be emailed by Human Resources in order to reach applicants on **Thursday 10 October 2024**. Please note that some applicants for Associate Professor, Clinical Associate Professor, Research Associate Professor, Professor, Clinical Professor or Research Professor will receive progress reports if a decision has not been made. Final decisions will be advised as soon as possible.

26.14 CONFIDENTIALITY

Divisional Committees will operate under the principles of strict confidentiality and respect for the privacy of applicants. Information about applications and applicants must only be discussed in committee for the purposes of committee decisions.

27. ROLE OF THE ACADEMIC STAFFING ADVISORY COMMITTEE

27.1 DELEGATED AUTHORITY

The Academic Staffing Advisory Committee has delegated authority to approve 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);
- of more than one additional increment within the Lecturer, Senior Lecturer and Teacher Education Fellow scales; and
- applications referred by Divisional Committees.

The Academic Staffing Advisory Committee makes recommendations to the Vice-Chancellor's Special Advisory Committees for applications:

- to Professor;
- to Clinical Professor;
- to Research Professor (subject to confirmation from the Head of Department that the grant has sufficient funds to meet any additional costs);

Promotions which are subject to consideration by Academic Staffing Advisory Committee are referred to the Divisional Committee for an initial assessment. Where an application for promotion is declined by the Academic Staffing Advisory Committee, and a lesser promotion is available, the Divisional Committee's decision on the lesser promotion will take effect. The final authority rests with the Vice-Chancellor.

27.2 CHAIRPERSON

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

27.3 OBSERVERS

Tertiary Education Union (TEU) observers and the Head of Organisational Development, will be present except for consideration of promotions to Professor, Clinical Professor and Research Professor. Observers may report back to the Committee with commentary and suggestions. Staff applying for promotion will be excluded from appointment as an observer.

27.4 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, or 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;
- having collaborated on research projects;
or
- having a close personal relationship, etc.

The Chairs of the Divisional Committees are advised of the preliminary assessments made by the Academic Staffing Advisory Committee on Associate Professor and Professor applications. The Divisional Committee Chair may ask the Chair of Academic Staffing Advisory Committee to make a submission in person or in writing to the Academic Staffing Advisory Committee about an assessment. The purpose of the submission is to present the reason why the Divisional Committee decided on the ratings for an application. The submission is based solely on the information provided in the application and the criteria outlined in the relevant promotion schedule.

Academic Staffing Advisory Committee will listen to the submission, seek clarification as appropriate, and then consider the information. As a separate committee with delegation to make independent decisions or recommendations, the Academic Staffing Advisory Committee members are not required to provide reasons for the initial assessment for a particular applicant.

Having considered the Chair's submission, the Academic Staffing Advisory Committee will make a 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/Clinical Associate Professor/Research Associate Professor);
- refer the case to a Special Advisory Committee (in the case of promotion to Professor/Clinical Professor/Research Professor.)

27.5 FINAL AUTHORITY

In exceptional situations, any decision at any level may be referred to the Vice-Chancellor for a decision. In exceptional cases the Vice-Chancellor has the power to promote to a higher level on the recommendation of the Academic Staffing Advisory Committee.

27.6 NOTIFICATION OF DECISIONS

1. No applicant should be notified of the promotion decision until **the week ending 11 October 2024**.
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) should they so wish.
3. All successful applicants for promotion will receive formal notification from the Human Resources Manager, Promotions and Remuneration, Human Resources Division. This will be emailed in order to reach applicants on **Thursday 10 October 2024**. Please note that some applicants for Associate Professor, Clinical Associate Professor, Research Associate Professor, Professor, Clinical Professor or Research Professor will receive progress reports if a decision has not been made. Final decisions will be advised as soon as possible.

28. SPECIAL ADVISORY COMMITTEE TO CONSIDER APPLICATIONS FOR PROFESSOR, RESEARCH PROFESSOR AND CLINICAL PROFESSOR

The University establishes a Special Advisory Committee 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 Departments (and Deans where applicable) will only be called before the Special Advisory Committee if there are points requiring clarification.

The Special Advisory Committee comprises:

- The Vice-Chancellor;
- The Deputy Vice-Chancellor (Academic);
- The four Pro-Vice-Chancellors;
- One Professor from each of the Divisions of Commerce, Humanities and Sciences, nominated by the Pro-Vice Chancellor and approved by the Vice-Chancellor;
- Two Professors from the Division of Health Sciences (one to be a clinician), nominated by the Pro-Vice-Chancellor and approved by the Vice-Chancellor;
- An External Assessor from another University may be appointed by the Vice-Chancellor

Pro-Vice-Chancellors are required to provide to the Human Resources Division by **16 August 2024** nominations for the Special Advisory Committee. The nominations will be referred to the Vice-Chancellor for approval.

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

Part D

TIMETABLE

29. TIMETABLE FOR 2024 (FOR PROMOTIONS EFFECTIVE FROM 1 FEBRUARY 2025)

| | |
|-------------------------------|--|
| 1 March | Documentation for promotions taking effect from the following 1 February will be circulated to Pro-Vice-Chancellors, Heads of Departments, Deans and will also be made available electronically through the University network. |
| 8 March | Pro-Vice-Chancellors to advise the Human Resources Division of membership of Divisional Promotion Committees. |
| March | Information sessions on “How to Apply for Promotion” held. For further information, see Section 23: Further information about applying . |
| 2 May | Applications/recommendations for promotion to be received by the Human Resources Manager, Promotions and Remuneration, Human Resources Division by 5pm on Thursday 2 May . |
| May | Briefing session(s) offered by Human Resources for new Divisional Committee members. |
| 24 May | Applications for consideration by Divisional Promotions Committee forwarded to Pro-Vice-Chancellors. |
| June | Divisional Promotions Committees and Professional Practice/Teaching Fellow Committee meet. |
| 28 June | Divisional Committee decisions, together with recommendations concerning promotions to be considered by Academic Staffing Advisory Committee, received by the Human Resources Manager, Promotions and Remuneration, Human Resources Division. The Minutes include all information concerning recommended referees for applicants seeking advancement to Associate Professor, Clinical Associate Professor, Research Associate Professor, Professor, Clinical Professor and Research Professor. |
| 19 July | Papers issued by the Human Resources Division to Academic Staffing Advisory Committee and observers. |
| 7 & 8 August | Academic Staffing Advisory Committee meets (preliminary assessments only). |
| August | Human Resources requests reports from external referees for those applicants for promotion to Associate Professor, Clinical Associate Professor, Research Associate Professor, Professor, Clinical Professor or Research Professor which Academic Staffing Advisory Committee has recommended are taken to the next stage. |
| 16 August | Pro-Vice-Chancellors advise the Human Resources Division of their nominations for additional referees requested, and of, membership of the Special Advisory Committee established to consider applications for promotion to Professor, Clinical Professor and Research Professor. |
| 25 September | Academic Staffing Advisory Committee meets to make final decisions on promotion to Associate Professor, Clinical Associate Professor and Research Associate Professor. |
| Week ending 11 October | Notification of promotion decisions will reach applicants by email by Thursday 10 October . Please note that some applicants for Associate Professor, Clinical Associate Professor, Research Associate Professor, Professor, Clinical 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 Committee chaired by the Vice-Chancellor meets to consider applications for promotion to Professor, Clinical Professor and Research Professor. |
| 18 November | Deadline for appeals. For further information, see Section 24: Appeals . |

Appendices

CRITERIA FOR ACADEMIC STAFF PROMOTION:

SCHEDULES

| | Page no: |
|---|----------|
| Schedule 1 Additional Salary Increments | 61 |
| Schedule 2 Lecturer to Senior Lecturer | 62 |
| Schedule 3 To Senior Lecturer (Non-Medical/Dental) beyond the bar | 65 |
| Schedule 4 To Senior Lecturer (Medical and Dental) beyond the bar | 68 |
| Schedule 5 To Associate Professor and Clinical Associate Professor | 72 |
| Schedule 6 To Professor and Clinical Professor | 75 |
| Schedule 7 To Assistant Research Fellow beyond the bar | 79 |
| Schedule 8 Assistant Research Fellow/Postdoctoral Fellow to Research Fellow | 80 |
| Schedule 9 To Senior Research Fellow | 82 |
| Schedule 10 To Senior Research Fellow beyond the bar (Non-Medical/Dental) | 84 |
| Schedule 11 To Research Associate Professor | 87 |
| Schedule 12 To Research Professor | 90 |
| Schedule 13 From Teacher Education Fellow Scale (Range 1) to Teacher Education Fellow Scale (Range 2) | 93 |
| Schedule 14 To Senior Research Fellow (Medical and Dental) beyond the bar | 95 |
| Schedule 15 To Teaching Fellow (Band 2) | 98 |
| Schedule 16 To Senior Teaching Fellow (Band 3) | 99 |
| Schedule 17 To Senior Teaching Fellow (Band 4) | 101 |
| Schedule 18 To Professional Practice Fellow (Band 2) | 103 |
| Schedule 19 To Senior Professional Practice Fellow (Band 3) | 105 |
| Schedule 20 To Senior Professional Practice Fellow (Band 4) | 107 |

SCHEDULE 1

Additional Salary Increments/He āpitihanga utu ā-tau

Staff paid on the following salary scales may apply for additional increments:

- Lecturer salary scale;
- Research Fellow salary scale;
- Senior Lecturer below the bar salary scale;
- Senior Research Fellow below the bar salary scale;
- Teacher Education Fellow salary scales.

It is the expectation that most Lecturers, Research Fellows, Senior Lecturers below the bar, Senior Research Fellows below the bar and College of Education Lecturers and Senior Lecturers on the Teacher Education Fellow scales will progress at not more than one step each year.

To be granted an additional increment within the Lecturer/Senior Lecturer scale or the Teacher Education Fellow scale the staff member must demonstrate exceptional performance for a person at their particular point in the scale. In the Senior Lecturer scale or band 2 of the Teacher Education Fellow 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 beyond the bar will normally receive that promotion.

Heads of Departments should be able to advise staff considering applying for additional increments about the Department's expectations of what constitutes satisfactory performance for the appointment level. This Departmental performance expectation should be set out in the application, and confirmed by the Head of Department. Applications must then demonstrate how they are significantly exceeding the normal performance expectations for that Department at their level in the areas of teaching, research and service, particularly in the past year.

An additional increment may be approved to acknowledge some specific major achievement(s) particularly in cases where the applicant is not quite ready to apply for a 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).

Any recommendation for more than a two-step increment (i.e. more than one additional increment) is to be referred to the Academic 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/Pikinga mai i te Pūkenga ki te Pūkenga Matua

2.1 GENERAL CRITERIA

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

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

- teaching, assessment and curriculum development;
- research/scholarship/advancing 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.

In summary, a Lecturer will be promoted to Senior Lecturer under one of the following minimum conditions:

| Teaching | Research | Service | |
|---------------------------------|---------------------------------|---------------------------------------|-----------|
| Sustained Competence (SC) | Sustained Competence (SC) | Sustained Competence (SC) | <i>or</i> |
| Sustained High Competence (SHC) | Sustained Competence (SC) | Not demonstrated Sustained Competence | <i>or</i> |
| Sustained Competence (SC) | Sustained High Competence (SHC) | Not demonstrated Sustained Competence | |

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 but are not limited to:

- 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 research 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, either individually or collectively;
- p. use of technologies to facilitate distance teaching, learning and course implementation;
- q. research into teaching; and
- r. 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, wānanga, hui 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 advancing professional practice and/or commercialisation and scholarship activities

This criterion will be met by evidence that the research and/or advancing 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 but are not limited to:

Outputs

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

- a. knowledge and/or the advancement of artistic, technical or advancing 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, intellectual property licensing and spin off companies; 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. design and/or design artefacts as demonstrated by prizes or other public recognition such as exhibitions in or acquisition by national or international institutions, inclusion as a finalist in national or international design competitions;
- f. successful transfer of knowledge/technology for commercialisation of research or adoption by industry of new standard practice;
- g. instances of significant artistic, technical or professional performance; and
- h. 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

- i. research related prizes, awards, honours, fellowships;
- j. being awarded nationally or internationally competitive external research grants;
- k. continuing engagement in a scholarly field, evidence of which might include editorship of journals and other publications, and key-note roles in conferences or meetings;
- l. 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
- m. research-related citations and favourable review;
- n. being invited to address companies about applications of research;
- o. being awarded industrial research grants.

Contributions to the Research Environment

- p. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- q. continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as preparation of position papers or responses on behalf of scholarly associations and/or requests to run information or training sessions for the government, professions or industries, etc;
- r. 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 key-note roles in conferences or meetings, preparation of position papers or responses on behalf of professional, technical or artistic associations etc;
- s. contribution to the University's internationalisation goals, e.g., international collaborations in research, advancing professional practice and scholarly activities;
- t. service to external academic and/or professional activities that contribute to the research environment; and
- u. contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically.
- v. contribution to the University's Pacific development goals in research, for example, sustained research linkages with Pacific communities or organisations.

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 or externally;
- 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 Māori development within the University Community;
- h. contribution towards achievement of the goals of the Māori Strategic framework;
- i. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- j. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- k. contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- l. provision of academic and professional service and advice to the community such as editorial board membership, reviewing and conference organisation;
- m. service to external academic and/or professional activities;
- n. contribution to continuing education, community debate and community development in the staff member's academic field;
- o. provision of access to and participation in culture and/or science, which may include creation and dissemination of resources for non-academic audiences and uses;
- p. engagement in community-based opportunities for service learning, outreach or community-engaged learning such as Hands-On at Otago, Science Wānanga or health outplacement programmes;
- q. involvement in the appraisal of community service needs;
- r. contribution to University partnerships with communities and community members; and
- s. development and implementation of health and safety measures in teaching and research.

Note (for interpretation only): *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 LL07 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 Senior Lecturer (Non-Medical/Dental) beyond the bar/Pikinga ki te pae Pūkenga Matua (hāunga Te Tari Whaiora /Te Kaupeka Pūniho) i tua i te pae

3.1 GENERAL CRITERIA

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

This is a significant promotion which 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 advancing 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.

In summary, applicants will be promoted to Senior Lecturer beyond the bar under one of the following minimum conditions:

| Teaching | Research | Service | |
|--|--|--|-----------|
| Sustained High Competence (SHC) | Sustained High Competence (SHC) | Sustained High Competence (SHC) | <i>or</i> |
| Sustained Outstanding Competence (SOC) | Sustained High Competence (SHC) | Sustained Competence (SC) | <i>or</i> |
| Sustained Outstanding Competence (SOC) | Sustained Competence (SC) | Sustained High Competence (SHC) | <i>or</i> |
| Sustained Competence (SC) | Sustained Outstanding Competence (SOC) | Sustained High Competence (SHC) | <i>or</i> |
| Sustained High Competence (SHC) | Sustained Competence (SC) | Sustained Outstanding Competence (SOC) | <i>or</i> |
| Sustained High Competence (SHC) | Sustained Outstanding Competence (SOC) | Sustained Competence (SC) | <i>or</i> |
| Sustained Competence (SC) | Sustained High Competence (SHC) | Sustained Outstanding Competence (SOC) | |

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 several of the following (applicants may add further examples as appropriate):

- sustained record of fostering the full development of individual student talent;
- leadership in teaching, assessment and curriculum development within the Department/School;
- sustained attraction and successful supervision of research students;
- development of significant innovations and/or publications in curricula, teaching procedures and teaching materials, either individually or collectively;
- high level knowledge and understanding of developments in the methodology and theory of teaching, assessment and curriculum development at the tertiary level;
- development and utilisation of a suitable range of assessment methods used to serve diagnostic, formative and summative purposes;
- mentoring of colleagues;
- development and implementation of quality assurance applied to teaching, assessment and curriculum development within the Department/School;
- evidence of recognition outside the Division and the University as an outstanding teacher, including wānanga (for example, Kura Reo) and outreach programmes such as Science Wānanga;
- evidence of research, development, innovation and publication in teaching, assessment and curriculum development;
- sustained record of creating effective distance learning environments;
- development & implementation of courses that make use of technologies to facilitate teaching and learning at a distance;
- a sustained record of provision of course advice as a recognised and trained advisor; and
- 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 advancing professional practice and/or commercialisation and scholarly activities

This criterion will be met by evidence that the research and/or advancing professional practice has a scholarly output relevant to the particular discipline. It should be noted that in this context advancing 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 several of the following (applicants may add further examples as appropriate):

Outputs

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

- a. knowledge and/or the advancement of artistic, technical or advancing 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, intellectual property licensing and spin off companies; 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. design and/or design artefacts as demonstrated by prizes or other public recognition such as exhibitions in or acquisition by national or international institutions, inclusion as a finalist in national or international design competitions,
- g. successful transfer of knowledge/technology for commercialisation of research or adoption by industry of new standard practice;
- h. instances of significant artistic, technical or professional performance; and
- i. 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, key-note roles in conferences or meetings, preparation of position papers or responses on behalf of professional, technical or artistic associations etc.

Peer Esteem

- j. research related prizes, awards, honours, fellowships;
- k. being awarded nationally or internationally competitive external research grants;
- l. 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;
- m. 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
- n. research-related citations and favourable review;
- o. being invited to address companies about applications of research;
- p. being awarded industrial research grants.

Contributions to the Research Environment

- q. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- r. continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as preparation of position papers or responses on behalf of scholarly associations and/or requests to run information or training sessions for the government, professions or industries, etc.;
- s. 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, preparation of position papers or responses on behalf of professional, technical or artistic associations etc.;

- t. contribution to the University's internationalisation goals, e.g., international collaborations in research, advancing professional practice and scholarly activities;
- u. service to external academic and/or professional activities that contribute to the research environment; and
- v. contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically.
- w. contribution to the University's Pacific development goals in research, for example, sustained research linkages with Pacific communities or organisations.

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, including service as Head of Department, within the University and/or the community;
- b. demonstrating and fostering collegiality within the Department/School or externally;
- 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 achievement of the goals of the Māori Strategic framework;
- h. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- i. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- j. contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- k. the provision of academic and professional service and advice to the community;
- l. service to external academic and/or professional activities such as editorial board membership, reviewing and conference organisation;
- m. contributing to continuing education, community debate and community development in the staff member's academic field;
- n. the provision of access to and participation in culture and/or science, which may include creation and dissemination of resources for non-academic audiences and uses;
- o. contribution to the development, management or evaluation of community-based opportunities for service learning, outreach or community-engaged learning such as Hands-On at Otago, Science Wānanga or health outplacement programmes;
- p. the appraisal of community service needs;
- q. contribution to the development and maintenance of enduring University partnerships with communities and community members; and
- r. 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/Pikinga ki Pūkenga Matua (Te Tari Whaiora / Te Kaupeka Pūniho) i tua i te pae

4.1 GENERAL CRITERIA

This is a significant promotion which 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 advancing 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 fulltime Senior Lecturer without substantial clinical duties will have demonstrated sustained high competence in research and scholarly activities (see 4.2.2 below), whereas parttime Senior Lecturers and fulltime Senior Lecturers with substantial clinical duties (e.g. joint clinical medical post; some School of Dentistry staff) will have demonstrated sustained high competence in advancing professional practice and scholarly activities (see 4.2.3 below).

In summary, applicants will be promoted to Senior Lecturer beyond the bar under one of the following minimum conditions:

| Teaching | Research | Service | |
|--|--|--|-----------|
| Sustained High Competence (SHC) | Sustained High Competence (SHC) | Sustained High Competence (SHC) | <i>or</i> |
| Sustained Outstanding Competence (SOC) | Sustained High Competence (SHC) | Sustained Competence (SC) | <i>or</i> |
| Sustained Outstanding Competence (SOC) | Sustained Competence (SC) | Sustained High Competence (SHC) | <i>or</i> |
| Sustained Competence (SC) | Sustained Outstanding Competence (SOC) | Sustained High Competence (SHC) | <i>or</i> |
| Sustained High Competence (SHC) | Sustained Competence (SC) | Sustained Outstanding Competence (SOC) | <i>or</i> |
| Sustained High Competence (SHC) | Sustained Outstanding Competence (SOC) | Sustained Competence (SC) | <i>or</i> |
| Sustained Competence (SC) | Sustained High Competence (SHC) | Sustained Outstanding Competence (SOC) | |

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 several of the following (applicants may add further examples as appropriate):

- 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, either individually or collectively;
- 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, including wānanga (for example, Kura Reo) and outreach programmes such as Science Wānanga;
- j. evidence of research, development, innovation and publication in teaching, assessment and curriculum development;
- k. sustained record of creating effective distance learning environments;
- l. development and implementation of courses that make use of technologies to facilitate teaching and learning at a distance;
- m. a sustained record of provision of course advice as a recognised and trained advisor; and
- n. 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 advancing 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 several of the following:

Outputs

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

- a. knowledge and/or the advancement of artistic, technical or advancing 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, intellectual property licensing and spin off companies, 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 of journals and other publications, 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. design and/or design artefacts as demonstrated by prizes or other public recognition such as exhibitions in or acquisition by national or international institutions, inclusion as a finalist in national or international design competitions;
- g. successful transfer of knowledge/technology for commercialisation of research or adoption by industry of new standard practice;
- h. instances of significant artistic, technical or professional performance;
- i. 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, keynote roles in conferences or meetings, preparation of position papers or responses on behalf of professional, technical or artistic associations etc.; and
- j. contribution to the University's internationalisation goals, e.g., international collaborations in research, advancing professional practice and scholarly activities.

Peer Esteem

- k. research related prizes, awards, honours, fellowships;
- l. being awarded nationally or internationally competitive external research grants;
- m. 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;
- n. 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
- o. research-related citations and favourable review;
- p. being invited to address companies about applications of research;
- q. being awarded industrial research grants.

Contributions to the Research Environment

- r. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- s. continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as preparation of position papers or responses on behalf of scholarly associations and/or requests to run information or training sessions for the government, professions or industries, etc;
- t. 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, preparation of position papers or responses on behalf of professional etc;
- u. contribution to the University's internationalisation goals, e.g., international collaborations in research, advancing professional practice and scholarly activities;
- v. service to external academic and/or professional activities that contribute to the research environment; and
- w. contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically.
- x. contribution to the University's Pacific development goals in research, for example, sustained research linkages with Pacific communities or organisations.

4.2.3 Sustained high competence in advancing professional practice and/or commercialisation 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. policymaking and management, including service as Head of Department, within the University and/or the community;
- b. demonstrating and fostering collegiality within the Department/School or externally;
- 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 nonspecialised public;
- f. contribution to Māori development within the University Community;
- g. contribution to achievement of the goals of the Māori Strategic Framework;
- h. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- i. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- j. contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- k. the provision of academic and professional service and advice to the community;
- l. service to external academic and/or professional activities such as editorial board membership, reviewing and conference organisation;
- m. contributing to continuing education, community debate and community development in the staff member's academic field;
- n. the provision of access to and participation in culture and/or science, which may include creation and dissemination of resources for non-academic audiences and uses;
- o. contribution to the development, management or evaluation of community-based opportunities for service learning, outreach or community-engaged learningsuch as Hands-On at Otago, Science Wānanga or health outplacement programmes;
- p. the appraisal of community service needs;
- q. contribution to the development and maintenance of enduring University partnerships with communities and community members; and
- r. 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/Pikinga ki te Ahorangi Tuarua me te Ahorangi Whakamātau-rongoā Tuarua

5.1 GENERAL CRITERIA

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

The advancement of knowledge is a necessary prerequisite for promotion at this level.

- 5.1.1 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 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.

In summary, applicants will be promoted to Associate Professor or Clinical Associate Professor under one of the following minimum conditions:

| Teaching | Research | Service | |
|--|--|--|-----------|
| Sustained Outstanding Competence (SOC) | Sustained Outstanding Competence (SOC) | Sustained High Competence (SHC) | <i>or</i> |
| Sustained Outstanding Competence (SOC) | Sustained High Competence (SHC) | Sustained Outstanding Competence (SOC) | <i>or</i> |
| Sustained High Competence (SHC) | Sustained Outstanding Competence (SOC) | Sustained Outstanding Competence (SOC) | |

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 several of the following (applicants may add further examples as appropriate):

- sustained outstanding record of fostering the full development of individual student talent;
- outstanding leadership in teaching and course design;
- sustained attraction and successful supervision of research students;
- development of significant innovations and/or publications in curricula, teaching procedures and teaching and/or assessment materials, either individually or collectively;
- high level knowledge and understanding of developments in the methodology and theory of teaching and learning at the tertiary level;
- outstanding leadership in the development of methods of quality assurance in teaching, assessment and curriculum development;
- mentoring of colleagues;
- evidence of recognition outside the Division and the University as an outstanding teacher, including wānanga (for example, Kura Reo) and outreach programmes such as Science Wānanga;
- outstanding record of creating innovative distance learning environments;
- outstanding development and implementation of courses and programmes that make innovative use of technologies to facilitate distance teaching and learning;
- sustained provision of outstanding course advice as a recognised and trained advisor; and
- outstanding 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 advancing professional practice and/or commercialisation

5.2.2.1 *Advancement of Knowledge*

In assessing competence in the advancement of knowledge the University will look for outstanding merit in carrying out research and scholarship. In assessing such work, the University will look for evidence of several of the following (applicants may add further examples as appropriate):

Outputs

- a. significant contribution to the advancement of an applicant's specialised field of research including successfully advancing professional practice and successful knowledge/technology transfer for commercialisation of research; and
- b. original contribution to interdisciplinary research projects.

Peer Esteem

- c. significant research related prizes, awards, honours, fellowships;
- d. being awarded nationally or internationally competitive external research grants;
- e. continuing significant engagement in a scholarly field, evidence of which might include editorship of journals and other publications, and key-note roles in conferences or meetings;
- f. 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
- g. research-related citations and favourable review;
- h. being invited to address companies about applications of research;
- i. being awarded industrial research grants.

Contributions to the Research Environment

- j. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- k. continuing significant engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as keynote addresses, preparation of position papers or responses on behalf of scholarly associations and/or requests to run information or training sessions for the government, professions or industries, etc;
- l. the development of significant new insights by the application of existing or new knowledge to the problems of society;
- m. evidence of recognition of outstanding competence in scholarship;
- n. leadership in the development of methods of quality assurance in research and/or postgraduate supervision;
- o. significant contribution to the University's internationalisation goals e.g. international collaborations in research, advancing professional practice and scholarly activities;
- p. an international standing in the advancement of knowledge and/or advancing professional practice;
- q. outstanding service to external academic and/or professional activities that contribute to the research environment; and
- r. significant contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically.
- s. significant contribution to the University's Pacific development goals in research, for example, leadership of sustained research linkages with Pacific communities or organisations.

5.2.2.2 *Advancing 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 advancing 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 advancing 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 of journals and other publications;
 - b. preparation of position papers or responses on behalf of scholarly associations;
 - c. requests to run information or training sessions for the government, professions or industries; and
 - d. achievements in communicating the results of the applicant's scholarly field/discipline 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. significant policy-making and management, including service as Head of Department, within the University and/or the community;
- b. advising governments and public enquiries, and service on committees of enquiry;
- c. successful communication of the benefits of research and scholarship to the non-specialised public;
- d. the provision of outstanding academic and professional service and advice to the community;
- e. demonstrating and fostering collegiality within the Department/School or externally;
- f. significant contribution to Māori development within the University community;
- g. significant contribution towards achievement of the goals of the Māori Strategic Framework;
- h. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- i. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- j. significant contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- k. outstanding service to external academic and/or professional activities such as editorial board membership, reviewing and conference organisation;
- l. contributing to continuing education, community debate and community development in the staff member's academic field;
- m. the provision of access to and participation in culture and science, which may include creation and dissemination of resources for non-academic audiences and uses;
- n. development, management or evaluation of community-based opportunities for service learning, outreach or community-engaged learning such as Hands-On at Otago, Science Wānanga or health outplacement programmes;
- o. the appraisal of community service needs;
- p. development and maintenance of enduring University partnerships with communities and community members; and
- q. significant 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 professorial level. Applicants for Clinical Associate Professor would normally be expected to have 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) in confidence.

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

For advice on preparing an application for promotion to Clinical Associate Professor, see Section 15: [Applications for promotion to Clinical Associate Professor and Clinical Professor](#).

SCHEDULE 6

Promotion to Professor and Clinical Professor/Pikinga ki te Ahorangi me te Ahorangi Whakamātau-rongoā

6.1 GENERAL CRITERIA

Successful applicants will be appointed to step 1 of the Professorial salary 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 outstanding competence in the third:

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

In summary, applicants will be promoted to Professor or Clinical Professor under one of the following minimum conditions:

| Teaching | Research | Service | |
|--|--|--|-----------|
| Sustained Outstanding Leadership and Sustained Outstanding Competence (SOLC) | Sustained Outstanding Leadership and Sustained Outstanding Competence (SOLC) | Sustained Outstanding Competence (SOC) | <i>or</i> |
| Sustained Outstanding Leadership and Sustained Outstanding Competence (SOLC) | Sustained Outstanding Competence (SOC) | Sustained Outstanding Leadership and Sustained Outstanding Competence (SOLC) | <i>or</i> |
| Sustained Outstanding Competence (SOC) | Sustained Outstanding Leadership and Sustained Outstanding Competence (SOLC) | Sustained Outstanding Leadership and Sustained Outstanding Competence (SOLC) | |

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. outstanding leadership in the development of effective means within the control of the teacher to improve student learning;
- b. significant development of an improved existing, or development of a high quality new, area or programme;
- c. outstanding 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;
- r. outstanding leadership in creating innovative distance learning environments;
- s. Outstanding leadership in development and implementation of courses and programmes that make innovative use of technologies to facilitate distance teaching and learning;
- t. sustained provision of course advice as a recognised and trained advisor; and
- u. evidence of recognition outside the Division and the University as an outstanding teacher, including wānanga (for example, Kura Reo) and outreach programmes such as Science Wānanga.

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 advancing professional practice and/or commercialisation.

6.2.2.1 Research

In assessing sustained outstanding competence and sustained outstanding leadership in research the University will look for leadership, 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 including successfully advancing professional practice and successful knowledge/technology transfer for commercialisation of research; and
- b. evidence of outstanding achievement arising from research grants.

Peer Esteem

- c. significant research related prizes, awards, honours, fellowships;
- d. being awarded nationally or internationally competitive external research grants;
- e. continuing outstanding engagement in a scholarly field, evidence of which might include editorship of journals and other publications, and key-note addresses in conferences or meetings;
- f. 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
- g. research-related citations and favourable review;
- h. being invited to address companies about applications of research;
- i. being awarded industrial research grants.

Contributions to the Research Environment

- j. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- k. sustained attraction and successful supervision of research students;
- l. outstanding leadership in the generation of collaborative research programmes within the University and/or with external bodies such as industry and other tertiary institutions;
- m. significant academic awards or distinctions, including honorary degrees and prizes;
- n. design and implementation of significant research programmes;
- o. leadership in the development and implementation of methods of quality assurance in research;
- p. a significant international reputation for research findings;
- q. significant contribution and leadership to the relevant research communities;
- r. originality in applied work, such as development of new techniques or improvement of established techniques which have been accepted in the research community;
- s. publication of books and articles in journals and through publishing houses of high national/international standing, and citations of these in the research literature;
- t. publication of reports commissioned by government agencies and international organisations;
- u. successful application for patents and licences based on original research;
- v. a record of effective contribution to the development of a discipline in the wider community;
- w. significant contribution to the University's internationalisation goals, e.g., international collaborations in research, advancing professional practice and scholarly activities; and

- x. significant contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically.
- y. significant contribution to the University's Pacific development goals in research, for example, leadership of sustained research linkages with Pacific communities or organisations.

6.2.2.2 *Advancing professional practice*

In assessing sustained outstanding competence in advancing professional practice the University will look for leadership, exceptional ability and original thought in advancing professional practice. It should be noted that in this context advancing 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 advancing 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 advancing professional practice to other members in the field through activities such as editorship;
- 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 international delegations in the area of expertise;
- k. professional awards or citations; and
- l. an international standing in the advancement of knowledge and/or advancing 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 sustained 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 significant leadership and management role, including service as Head of Department, 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 or externally;
- e. demonstrating leadership in the fostering of collegiality among the staff members of the Department/School;
- f. sustained and 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. significant contribution to Māori development within the University Community;
- h. significant contribution to achievement of the goals of the Māori Strategic framework;
- i. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- j. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- k. significant contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- l. leadership in development, management or evaluation of community-based opportunities for service learning, outreach or community-engaged learning such as Hands-On at Otago, Science Wānanga or health outplacement programmes;

- m. leading the development and maintenance of enduring University partnerships with communities and community members;
- n. membership of government, professional and/or industry advisory bodies;
- o. professional leadership achieved by the development of close and continuing associations with industry, commerce, government or the community generally; and
- p. provision of leadership in the development and implementation of health and safety measures in teaching and research.
- q. Editorial board membership and refereeing in regard to research publications;
- r. 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.

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 advancing 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 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) 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.

For advice on preparing an application for promotion to Clinical Associate Professor, see Section 15:

[Applications for promotion to Clinical Associate Professor and Clinical Professor.](#)

SCHEDULE 7

Promotion from Assistant Research Fellow below the bar to Assistant Research Fellow beyond the bar (Non-Medical/Dental Scale)/Pikinga mai i te Kairuruku Tuarua i raro i te pae ki te Kairuruku Tuarua i tua i te pae (hāunga Te Tari Whaiora / Te Kaupeka Pūniho rānei)

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

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 or externally.

SCHEDULE 8

Promotion from Assistant Research Fellow/Postdoctoral Fellow to Research Fellow (Non-Medical/Dental Scale)/Pikinga mai i te Kairuruku Tuarua/Kairuruku Pūāwai ki te Kairuruku (hāunga te ranga o Te Tari Whaiora /O Te Kaupeka Pūniho rānei)

Successful applicants will be appointed to step 1 of the Lecturer salary scale

8.1. 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.

8.2. SPECIFIC CRITERIA

8.2.1 Sustained competence in research and/or advancing professional practice and/or commercialisation and scholarship activities

This criterion will be met by evidence that the research and/or advancing professional practice has a scholarly output relevant to the particular discipline. It should be noted that in this context advancing 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 but are not limited to:

Assistant Research Fellows and Postdoctoral Fellows will be promoted to Research Fellow under the following minimum conditions:

| Teaching | Research | Service |
|----------------|---------------------------|----------------|
| Not Applicable | Sustained Competence (SC) | Competence (C) |

Outputs

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

- knowledge and/or the advancement of artistic, technical or advancing professional practice;
- 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;
- 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;
- significant creative contributions in the area;
- design and/or design artefacts as demonstrated by prizes or other public recognition such as exhibitions in or acquisition by national or international institutions, inclusion as a finalist in national or international design competitions, transfer of knowledge/technology for commercialisation of research or adoption by industry of new standard practice;
- instances of significant artistic, technical or professional performance; and
- 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

- research related prizes, awards, honours, fellowships;
- being awarded nationally or internationally competitive external research grants;
- continuing engagement in a scholarly field, evidence of which might include editorship of journals and other publications, and key-note roles in conferences or meetings;
- 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
- research-related citations and favourable review.

Contributions to the Research Environment

- m. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- n. continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as preparation of position papers or responses on behalf of scholarly associations and/or requests to run information or training sessions for the government, professions or industries, etc;
- o. 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, key-note roles in conferences or meetings, preparation of position papers or responses on behalf of professional, technical or artistic associations;
- p. contribution to the University's internationalisation goals, e.g., international collaborations in research, advancing professional practice and scholarly activities;
- q. service to external academic and/or professional activities that contribute to the research environment; and
- r. contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically;
- s. scholarly contributions to teaching, assessment and curriculum development, eg., research into teaching and/or the publication of textbooks, scholarly articles or commentaries on various aspects of teaching.
- t. contribution to the University's Pacific development goals in research, for example, sustained research linkages with Pacific communities or organisations.

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

Assistant Research Fellows and Postdoctoral 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 or externally;
- 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 towards achievement of the goals of the Māori Strategic framework;
- g. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- h. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- i. contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- j. engagement in community-based opportunities for service learning, outreach or community-engaged learning such as Hands-On at Otago, Science Wānanga or health outplacement programmes;
- k. at appropriate levels, the holding of management or administrative positions within the Department, Division or the University;
- l. provision of academic and professional service and advice to the community such as editorial board membership, reviewing and conference organisation; and
- m. development and implementation of health and safety measures in research.

SCHEDULE 9

Promotion to Senior Research Fellow/Pikinga ki te Kairuruku Matua

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

9.1 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).

Applicants 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.

Applicants will be promoted to Senior Research Fellow under the following minimum conditions:

| Teaching | Research | Service |
|----------------|---------------------------------|---------------------------|
| Not Applicable | Sustained High Competence (SHC) | Sustained Competence (SC) |

9.2 SPECIFIC CRITERIA

9.2.1 Sustained high competence in research and/or advancing professional practice and/or commercialisation and scholarly activities

This criterion will be met by evidence that the research and/or advancing professional practice has a scholarly output relevant to the particular discipline. It should be noted that in this context advancing 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 several of the following (applicants may add further examples as appropriate):

Outputs

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

- knowledge and/or the advancement of artistic, technical or advancing professional practice;
- 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;
- applied and contract research, intellectual property licensing and spin off companies, resulting in scholarly advances in a field of knowledge. It is expected that the scholarly nature of such work can be independently verified;
- continuing engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as editorship of journals and other publications, preparation of position papers or responses on behalf of scholarly associations, and/or requests to run information or training sessions for the government, professions or industries, etc.;
- significant creative contributions in the area;
- design and/or design artefacts as demonstrated by prizes or other public recognition such as exhibitions in or acquisition by national or international institutions, inclusion as a finalist in national or international design competitions;
- transfer of knowledge/technology for commercialisation of research or adoption by industry of new standard practice;
- instances of significant artistic, technical or professional performance; and
- 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, key-note roles in conferences or meetings, preparation of position papers or responses on behalf of professional, technical or artistic associations etc.

Peer Esteem

- j. research related prizes, awards, honours, fellowships;
- k. being awarded nationally or internationally competitive external research grants;
- l. 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;
- m. ability to attract graduate students or to sponsor students into higher-level research qualifications, positions or opportunities because of his or her research reputation;
- n. research-related citations and favourable review; and
- o. contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically;
- p. being invited to address companies about applications of research;
- q. being awarded industrial research grants.

Contributions to the Research Environment

- r. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- s. contribution to the University's internationalisation goals, e.g., international collaborations in research, advancing professional practice and scholarly activities.

9.2.2 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 or externally;
- 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 achievement of the goals of the Māori Strategic framework;
- i. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- j. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- k. contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- l. service to external academic and/or professional activities that contribute to the research environment such as editorial board membership, reviewing and conference organisation;
- m. contribution to continuing education, community debate and community development in the staff member's academic field;
- n. contribution to the development, management or evaluation of community-based opportunities for service learning, outreach or community-engaged learning such as Hands-On at Otago, Science Wānanga or health outplacement programmes;
- o. contribution to University links supporting providers of community service;
- p. development and implementation of health and safety measures in research; and
- q. engagement in review and/or quality assurance activities.

SCHEDULE 10

Promotion to Senior Research Fellow beyond the bar (Non-Medical/Dental Scale)/Pikinga ki te pae Kairuruku Matua i tua i te pae (hāunga Te Tari Whaiora / Te Kaupeka Pūniho rānei)

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

10.1 GENERAL CRITERIA

For promotion of Senior Research Fellows beyond the bar in the Senior Lecturer scale, applicants must show evidence of sustained outstanding competence in the advancement of knowledge together with sustained competence in service to the University and to the community.

Applicants 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.

Applicants will be promoted to Senior Research Fellow beyond the bar under the following minimum conditions:

| Teaching | Research | Service |
|----------------|--|---------------------------|
| Not Applicable | Sustained Outstanding Competence (SOC) | Sustained Competence (SC) |

10.2 SPECIFIC CRITERIA

10.2.1 Sustained outstanding competence in the advancement of knowledge and/or advancing professional practice and/or commercialisation

10.2.1.1 *Advancement of Knowledge*

In assessing competence in the advancement of knowledge the University will look for outstanding merit in carrying out research and scholarship. In assessing such work, the University will look for evidence of several of the following (applicants may add further examples as appropriate):

Outputs

- significant contribution to the advancement of an applicant's specialised field of research including successfully advancing professional practice and successful knowledge/technology transfer for commercialisation of research; and
- original contribution to interdisciplinary research projects.

Peer Esteem

- significant research related prizes, awards, honours, fellowships;
- being awarded nationally or internationally competitive external research grants;
- continuing significant engagement in a scholarly field, evidence of which might include editorship of journals and other publications, and key-note roles in conferences or meetings;
- 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
- research-related citations and favourable review;
- being invited to address companies about applications of research;
- being awarded industrial research grants.

Contributions to the Research Environment

- j. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- k. continuing significant engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as preparation of position papers or responses on behalf of scholarly associations and/or requests to run information or training sessions for the government, professions or industries, etc;
- l. the development of significant new insights by the application of existing or new knowledge to the problems of society;
- m. evidence of recognition of outstanding competence in scholarship;
- n. leadership in the development of methods of quality assurance in research and/or postgraduate supervision;
- o. significant contribution to the University's internationalisation goals e.g. international collaborations in research, advancing professional practice and scholarly activities;
- p. an international standing in the advancement of knowledge and/or advancing professional practice;
- q. outstanding service to external academic and/or professional activities that contribute to the research environment; and
- r. significant contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically.
- s. contribution to the University's Pacific development goals in research, for example, sustained research linkages with Pacific communities or organisations.

10.2.1.2 Advancing 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 advancing 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 advancing 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 of journals and other publications;
 - b. keynote conference addresses;
 - c. preparation of position papers or responses on behalf of scholarly associations;
 - d. requests to run information or training sessions for the government, professions or industries; and
 - e. 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.

10.2.2 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 or externally;
- 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 achievement of the goals of the Māori Strategic framework;
- i. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- j. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- k. contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- l. provision of academic and professional service and advice to the community such as editorial board membership, reviewing and conference organisation;
- m. service to external academic and/or professional activities;
- n. contribution to continuing education, community debate and community development in the staff member's academic field;
- o. the provision of access to and participation in culture and/or science, which may include creation and dissemination of resources for non-academic audiences and uses;
- p. contribution to the development, management or evaluation of community-based opportunities for service learning, outreach or community-engaged learningsuch as Hands-On at Otago, Science Wānanga or health outplacement programmes;involvement in the appraisal of community service needs;
- q. contribution to the development and maintenance of enduring University partnerships with communities and community members; and
- r. 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 11

Promotion to Research Associate Professor/Pikinga ki te Ahorangi Rangahau Tuarua

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

11.1 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 outstanding 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.

In summary, applicants will be promoted to Research Associate Professor under the following minimum conditions:

| Teaching | Research | Service |
|----------------|--|---------------------------------|
| Not Applicable | Sustained Outstanding Leadership and Sustained Outstanding Competence (SOLC) | Sustained High Competence (SHC) |

Applicants 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.

The principal role will be in research and they will generally be engaged in this activity full-time.

11.2 SPECIFIC CRITERIA

11.2.1 Sustained outstanding competence and sustained outstanding leadership in research and/or advancing professional practice and/or commercialisation.

11.2.1.1 Research

In assessing sustained outstanding competence and sustained outstanding leadership in research the University will look for leadership, 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

- evidence of outstanding contributions in basic and/or strategic and/or applied research including successfully advancing professional practice and successful knowledge/technology transfer for commercialisation of research; and
- evidence of outstanding achievement arising from research grants.

Peer Esteem

- significant research related prizes, awards, honours, fellowships;
- being awarded nationally or internationally competitive external research grants;
- continuing outstanding engagement in a scholarly field, evidence of which might include editorship of journals and other publications, and key-note roles in conferences or meetings;
- 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
- research-related citations and favourable review;
- being invited to address companies about applications of research;
- being awarded industrial research grants.

Contributions to the Research Environment

- j. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- k. sustained attraction and successful supervision of research students;
- l. outstanding leadership in the generation of collaborative research programmes within the University and/or with external bodies such as industry and other tertiary institutions;
- m. significant academic awards or distinctions, including honorary degrees and prizes;
- n. design and implementation of significant research programmes;
- o. leadership in the development and implementation of methods of quality assurance in research;
- p. a significant international reputation for research findings;
- q. significant contribution and leadership to the relevant research communities;
- r. originality in applied work, such as development of new techniques or improvement of established techniques which have been accepted in the research community;
- s. publication of books and articles in journals and through publishing houses of high national/international standing, and citations of these in the research literature;
- t. editorship of research publications;
- u. publication of reports commissioned by government agencies and international organisations;
- v. successful application for patents and licences based on original research;
- w. a record of effective contribution to the development of a discipline in the wider community;
- x. 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;
- y. significant contribution to the University's internationalisation goals, e.g., international collaborations in research, advancing professional practice and scholarly activities; and
- z. significant contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically.
- aa. significant contribution to the University's Pacific development goals in research, for example, leadership of sustained research linkages with Pacific communities or organisations.

11.2.1.2 Advancing Professional Practice

In assessing sustained outstanding competence in advancing professional practice the University will look for leadership, 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 advancing 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 advancing professional practice.

11.2.2 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. significant 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 outstanding academic and professional service and advice to the community;
- e. demonstrating collegiality within the Research Team/Department/School or externally;
- f. fostering collegiality among staff members of the Research Team/Department/School;
- g. significant contribution to Māori development within the University Community;
- h. significant contribution towards achievement of the goals of the Māori Strategic framework;
- i. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- j. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- k. significant contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- l. service to external academic and/or professional activities such as editorial board membership, reviewing and conference organisation;
- m. contributing to continuing education, community debate and community development in the staff member's academic field;
- n. the provision of access to and participation in culture and science, which may include creation and dissemination of resources for non-academic audiences and uses;
- o. development, management or evaluation of community-based opportunities for service learning, outreach or community-engaged learning such as Hands-On at Otago, Science Wānanga or health outplacement programmes;
- p. the appraisal of community service needs;
- q. development and maintenance of enduring University partnerships with communities and community members; and
- r. development and implementation of health and safety measures in teaching and research.

SCHEDULE 12

Promotion to Research Professor/Pikinga ki te Ahorangi Rangahau

Successful applicants will be appointed to step 1 of the Professor salary scale

12.1 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 advancing professional practice and in service as outlined in 14.2 and 14.3 below.

In summary, applicants will be promoted to Research Professor under the following minimum conditions:

| Teaching | Research | Service |
|----------------|--|--|
| Not Applicable | Sustained Outstanding Leadership and Sustained Outstanding Competence (SOLC) | Sustained Outstanding Leadership and Sustained Outstanding Competence (SOLC) |

Applicants 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.

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.

12.2 SPECIFIC CRITERIA

12.2.1 Sustained outstanding competence and sustained outstanding leadership in research and/or advancing professional practice and/or commercialisation.

12.2.1.1 Research

In assessing sustained outstanding competence and sustained outstanding leadership in research the University will look for leadership, 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

- evidence of outstanding contributions in basic and/or strategic and/or applied research including successfully advancing professional practice and successful knowledge/technology transfer for commercialisation of research; and
- evidence of outstanding achievement arising from research grants.

Peer Esteem

- significant research related prizes, awards, honours, fellowships;
- being awarded nationally or internationally competitive external research grants;
- continuing outstanding engagement in a scholarly field, evidence of which might include editorship of journals and other publications, and key-note roles in conferences or meetings;
- 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
- research-related citations and favourable review.

Contributions to the Research Environment

- h. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- i. sustained attraction and successful supervision of research students;
- j. outstanding leadership in the generation of collaborative research programmes within the University and/or with external bodies such as industry and other tertiary institutions;
- k. significant academic awards or distinctions, including honorary degrees and prizes;
- l. design and implementation of significant research programmes;
- m. leadership in the development and implementation of methods of quality assurance in research;
- n. a significant international reputation for research findings;
- o. significant contribution and leadership to the relevant research communities;
- p. originality in applied work, such as development of new techniques or improvement of established techniques which have been accepted in the research community;
- q. publication of books and articles in journals and through publishing houses of high national/international standing, and citations of these in the research literature;
- r. publication of reports commissioned by government agencies and international organisations;
- s. successful application for patents and licences based on original research;
- t. a record of effective contribution to the development of a discipline in the wider community;
- u. significant contribution to the University's internationalisation goals, e.g., international collaborations in research, professional practice and scholarly activities; and
- v. significant contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically;
- w. being invited to address companies about applications of research;
- x. being awarded industrial research grants.
- y. significant contribution to the University's Pacific development goals in research, for example, leadership of sustained research linkages with Pacific communities or organisations.

12.2.1.2 Advancing Professional Practice

In assessing sustained outstanding competence in advancing professional practice the University will look for leadership, 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 advancing 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 advancing professional practice.

12.2.3 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 or externally;
- 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 achievement of the goals of the Māori Strategic framework;
- i. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- j. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- k. significant contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- l. leadership in development, management or evaluation of community-based opportunities for service learning, outreach or community-engaged learning such as Hands-On at Otago, Science Wānanga or health outplacement programmes;
- m. leading the development and maintenance of enduring University partnerships with communities and community members
- n. membership of government and/or industry advisory bodies;
- o. professional leadership achieved by the development of close and continuing associations with industry, commerce, government or the community generally; and
- p. provision of leadership in the development and implementation of health and safety measures in research and/or teaching where that is applicable.
- q. Editorial board membership and refereeing in regard to research publications;
- r. 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.

SCHEDULE 13

Promotion from Teacher Education Fellow Scale (Range 1) to Teacher Education Fellow Scale (Range 2)/Pikinga mai i te ranga Kaiwhakaako-whanake Mātauranga (Pae 1) ki te Kaiwhakaako-whanake Mātauranga (Pae 2)

13.1 GENERAL CRITERIA

Successful applicants will be moved to Step 1 of Teacher Education Fellow salary scale (range 2).

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

- teaching, assessment and curriculum development
- advancing professional practice/research
- service to the University

A Teacher Education Fellow (COE) who has demonstrated sustained competence in all three areas will be promoted to Teacher Education Fellow above the first bar. Further, a Teacher Education Fellow (COE) who has demonstrated sustained high competence in teaching, sustained competence in advancing professional practice/research, but who has not been able to demonstrate sustained competence in service activities may be promoted. Equally a Teacher Education Fellow (COE) who has sustained competence in teaching, sustained high competence in advancing professional practice/research but who has not been able to demonstrate sustained competence in service activities, may be promoted.

In summary, a Teaching Education Fellows will be promoted to Range 2 under one of the following minimum conditions:

| Teaching | Research | Service | |
|---------------------------------|---------------------------------|---------------------------|-----------|
| Sustained Competence (SC) | Sustained Competence (SC) | Sustained Competence (SC) | <i>or</i> |
| Sustained High Competence (SHC) | Sustained Competence (SC) | Not demonstrated SC | <i>or</i> |
| Sustained Competence (SC) | Sustained High Competence (SHC) | Not demonstrated SC | |

13.2 SPECIFIC CRITERIA

13.2.1 Sustained competence in teaching, assessment and curriculum development

Teaching excellence may be demonstrated by such factors as:

- 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. provision of course advice as a recognised and trained advisor;
- m. the design and implementation of innovation in assessment, curriculum or pedagogy, either individually or collectively;
- n. tangible evidence of successful and high quality teaching practice;
- o. a clear understanding, evidenced by a clearly articulated philosophy, of how children and adults learn;
- p. an appropriate relationship between theory and practice in one's subject knowledge (relevant to the particular course or programmes being taught);
- q. use of technologies to facilitate distance teaching learning and course implementation;
- r. evidence of recognition outside the Division and the University as an outstanding teacher, including wānanga (for example, Kura Reo) and outreach programmes such as Science Wānanga.

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, wānanga, hui 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.

13.2.2 Sustained Competence in advancing professional practice/research/commercialisation

The criteria used in evaluating the professional eminence of a Teacher Education Fellow will take account of all aspects of advancing professional practice/research.

Advancing professional practice/research may be demonstrated by success in activities such as:

- a. leadership role taken in professional subject association;
- b. delivery of papers and/or workshops at regional, national and international conferences;
- c. leadership of subject specialty within the University;
- d. responsibility for significant course or programme development or review;
- e. leadership or coordination responsibility for major course, programme or project;
- f. chairing a relevant Professional Committee;
- g. professional consultancies;
- h. recognised innovative practice in subject area;
- i. recognised success in undertaking special duties;
- j. completion of research projects;
- k. relevant publications, including books, and articles in academic or professional journals;
- l. major resource development initiatives in subject area;
- m. attestation from Colleagues; and
- n. performance and exhibitions.

13.2.3 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 or externally;
- 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 a candidate 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. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- j. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- k. provision of academic and professional service and advice to the community;
- l. service to external academic and/or professional activities;
- m. contribution to continuing education, community debate and community development in the staff member's academic field;
- n. provision of access to, participation in and development of culture and/or science;
- o. involvement in the appraisal of community service needs;
- p. contribution to University links supporting providers of community service; and
- q. development and implementation of health and safety measures in teaching and research.
- r. contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework.

SCHEDULE 14

Promotion to Senior Research Fellow (Medical and Dental) beyond the bar/ Pikinga ki te Kairuruku Matua (Te Tari Whaiora /Te Kaupeka Pūniho) i tua i te pae

14.1 GENERAL CRITERIA

This is a significant promotion which does not preclude subsequent promotion to the rank of Research Associate Professor, nor is promotion beyond the bar an essential prerequisite to promotion to Research Associate Professor.

To qualify for promotion beyond the bar in the Senior Lecturer (Medical and Dental) scale, a Senior Research Fellow must demonstrate sustained outstanding competence in the advancement of knowledge together with sustained competence in service to the University and to the community.

A fulltime Senior Research Fellow without substantial clinical duties will have demonstrated sustained outstanding competence in research and scholarly activities, whereas parttime Senior Research Fellows and fulltime Senior Research Fellows with substantial clinical duties will have demonstrated sustained outstanding competence in advancing professional practice and scholarly activities.

In summary, applicants will be promoted to Senior Research Fellow (Medical/Dental) beyond the bar under the following minimum conditions:

| Teaching | Research | Service |
|----------------|--|---------------------------|
| Not Applicable | Sustained Outstanding Competence (SOC) | Sustained Competence (SC) |

14.2 SPECIFIC CRITERIA

14.2.1 Sustained outstanding competence in the advancement of knowledge and/or advancing professional practice and/or commercialisation

14.2.1.1 *Advancement of knowledge*

In assessing competence in the advancement of knowledge the University will look for outstanding merit in carrying out research and scholarship. In assessing such work, the University will look for evidence of several of the following (applicants may add further examples as appropriate):

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

- c. significant research related prizes, awards, honours, fellowships;
- d. being awarded nationally or internationally competitive external research grants;
- e. continuing significant engagement in a scholarly field, evidence of which might include editorship of journals and other publications, and key-note roles in conferences or meetings;
- f. 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
- g. research-related citations and favourable review;
- h. being invited to address companies about applications of research;
- i. being awarded industrial research grants.

Contributions to the Research Environment

- j. contribution to the development of research students, to new and emerging researchers, and to a vital high-quality research environment;
- k. continuing significant engagement in a scholarly field, evidence of which might include activities of dissemination to other members in the field such as preparation of position papers or responses on behalf of scholarly associations and/or requests to run information or training sessions for the government, professions or industries, etc;
- l. the development of significant new insights by the application of existing or new knowledge to the problems of society;
- m. evidence of recognition of outstanding competence in scholarship;
- n. leadership in the development of methods of quality assurance in research and/or postgraduate supervision;
- o. significant contribution to the University's internationalisation goals e.g. international collaborations in research, advancing professional practice and scholarly activities;
- p. an international standing in the advancement of knowledge and/or professional practice;
- q. outstanding service to external academic and/or professional activities that contribute to the research environment; and
- r. significant contribution to the University's Māori development goals in research, which might include, for example, development of Māori research students, sustained research linkages with iwi and other Māori communities and organizations, or contributions to the Māori research environment generally or Māori knowledge specifically.
- s. contribution to the University's Pacific development goals in research, for example, sustained research linkages with Pacific communities or organisations.

14.2.1.2 Advancing 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 advancing 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 of journals and other publications;
 - b. key-note roles within conferences;
 - c. preparation of position papers or responses on behalf of scholarly associations;
 - d. information or training sessions for the government, professions or industries; and
 - e. 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.

14.2.2 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 or externally;
- 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 the Māori Strategic framework;
- i. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- j. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- k. provision of academic and professional service and advice to the community;
- l. service to external academic and/or professional activities such as editorial board membership, reviewing and conference organisation;
- m. contribution to continuing education, community debate and community development in the staff member's academic field;
- n. provision of access to, participation in and development of culture and/or science;
- o. engagement in community service such as Hands-On at Otago, Science Wānanga or health outplacement programmes;
- p. involvement in the appraisal of community service needs;
- q. contribution to University links supporting providers of community service; and
- r. development and implementation of health and safety measures in teaching and research.
- s. contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework.

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 15

Promotion to Teaching Fellow (Band 2)/Pikinga ki te Kaiwhakaako (Pae 2)

15.1 GENERAL CRITERIA

Successful applicants will be appointed to step 1 of the Teaching Fellow (Band 2) salary 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 (Band 2).

Research is not required but applicants who undertake research may submit evidence of that research. Undertaking research and related activities in their discipline or in teaching is encouraged and will be considered positively in an application.

In summary, applicants will be promoted to Teaching Fellow (Band 2) under the following minimum conditions:

| Teaching | Service |
|---------------------------|----------------|
| Sustained Competence (SC) | Competence (C) |

15.2 SPECIFIC CRITERIA

15.2.1 Sustained competence in teaching, assessment and curriculum development

The criteria used in evaluating teaching, assessment and curriculum development will take account of all aspects of the process of creating and sustaining an effective learning environment. Criteria considered may include but are not limited to:

- a. substantial contact teaching appropriate to the position held;
- b. distance teaching activities;
- 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. adherence to quality assurance methods in teaching and assessment;
- j. provision of course advice as a recognised and trained advisor;
- k. the design and implementation of innovation in assessment, curriculum or pedagogy, either individually or collectively;
- l. contribution to the publication of a textbook within the applicant's discipline;
- m. knowledge and understanding of developments in the methodology and theory of teaching and learning at the tertiary level;
- n. convenorship and management activities.

15.2.2 Sustained competence in service to the University

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

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 16

Promotion to Senior Teaching Fellow (Band 3)/Pikinga ki te Tauira Matua Kaiwhakaako (Pae 3)

16.1 GENERAL CRITERIA

Successful applicants will be appointed to step 1 of the Senior Teaching Fellow (Band 3) salary scale

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

- teaching, assessment and curriculum development
- service to the University and community, including demonstration of collegiality.

A Teaching Fellow who has demonstrated sustained high competence in teaching, assessment and curriculum development and sustained competence in service to the University and community will be promoted to Senior Teaching Fellow (Band 3).

Research is not required but applicants who undertake research may submit evidence of that research. Undertaking research and related activities in their discipline or in teaching is encouraged and will be considered positively in an application.

In summary, applicants will be promoted to Senior Teaching Fellow (Band 3) under the following minimum conditions:

| Teaching | Service |
|---------------------------------|---------------------------|
| Sustained High Competence (SHC) | Sustained Competence (SC) |

16.2 SPECIFIC CRITERIA

16.2.1 Sustained high 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. Criteria considered may include but are not limited to:

- a. substantial contact teaching appropriate to the position held;
- b. highly-effective implementation of distance teaching activities;
- c. highly-effective development of methods of quality assurance in teaching, assessment and curriculum development;
- d. highly-effective teaching, course design and curriculum development;
- e. mentoring of colleagues;
- f. academic and pastoral contact with individual students;
- g. highly-effective remedial work demonstrated by excellent student outcomes;
- h. significant record of fostering the full development of individual student talent
- i. significant record of development and implementation of quality assurance applied to teaching, assessment and curriculum development;
- j. sustained provision of highly-effective course advice as a recognised and trained advisor;
- k. significant contribution to development of significant innovations and/or publications in curricula, teaching procedures and teaching materials, either individually or collectively
- l. significant contribution to publication and dissemination of teaching practices in scholarly journals, monographs, refereed electronic journals or other avenues of publication;
- m. high level knowledge and understanding of developments in the methodology and theory of teaching, assessment and curriculum development at the tertiary level
- n. evidence of recognition outside the Division as an outstanding teacher, including wānanga and outreach programmes;
- o. significant contribution to the University's strategic goals in teaching that relate to outcomes for specific student groups;
- p. highly-effective contribution to convenorship and management activities.

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

This criterion will be met by evidence of a contribution to University planning and/or governance, service to the 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 and management within the Department, School or wider University;
- b. demonstrating collegiality within the Department/School or externally
- c. engagement in review and/or quality assurance activities;
- d. using discipline expertise to advise local organisations;
- e. contribution to Māori development within the University Community
- f. contribution to the development of the Māori Strategic framework;
- g. providing advice in the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- h. in accordance with local kawa and/or tikanga Māori, assisting with events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- i. contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- j. engagement in community service such as Hands-on at Otago, Science Wānanga;
- k. service to external academic and/or professional activities such as board membership or conference organisation.
- l. contribution to continuing education, community debate and community development in the staff member's academic field;
- m. provision of academic service and advice to the community;
- n. engagement in development or implementation of health and safety measures in teaching;
- o. provision of access to, participation in and development of culture and/or science;
- p. involvement in the appraisal of community service needs;
- q. contribution to University links supporting providers of community service;
- r. engagement in equity activities, recruitment, advertising and public relations;
- s. contributions to planning and/or governance via union work.

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 17

Promotion from Senior Teaching Fellow (Band 3) to Senior Teaching Fellow (Band 4)/Pikinga mai i te Taura Matua Kaiwhakaako (Pae 3) ki te Taura Matua Kaiwhakaako (Pae 4)

17.1 GENERAL CRITERIA

Successful applicants will be appointed to step 1 of the Senior Teaching Fellow (Band 4) salary scale

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

- teaching, assessment and curriculum development
- service to the University and community, including demonstration of collegiality.

A Senior Teaching Fellow who has demonstrated sustained outstanding competence in teaching, assessment and curriculum development, and sustained high competence in service to the University and community will be promoted to Senior Teaching Fellow (Band 4).

Demonstration of outstanding competence will be characterised by elements of leadership across the aspects of the role.

Research is not required but applicants who undertake research may submit evidence of that research. Undertaking research and related activities in their discipline or in teaching is encouraged and will be considered positively in an application.

In summary, applicants will be promoted to Senior Teaching Fellow (Band 4) under the following minimum conditions:

| Teaching | Service |
|--|---------------------------------|
| Sustained Outstanding Competence (SOC) | Sustained High Competence (SHC) |

17.2 SPECIFIC CRITERIA

17.2.1 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. Criteria considered may include but are not limited to:

- a. substantial contact teaching appropriate to the position held;
- b. leading development of distance teaching activities;
- c. leading the development and utilisation of a suitable range of assessment methods used to serve diagnostic, formative and summative purposes;
- d. outstanding leadership in teaching, assessment and curriculum development;
- e. demonstration of exceptional outcomes from mentoring colleagues;
- f. academic and pastoral contact with individual students;
- g. developing and leading highly effective remedial work demonstrated by excellent student outcomes;
- h. sustained outstanding record of fostering the full development of individual student talent
- i. outstanding leadership in the development of methods of quality assurance in teaching, assessment and curriculum development;
- j. sustained provision of outstanding course advice as a recognised and trained advisor;
- k. development of significant innovations and/or publications in curricula, teaching procedures and teaching and/or assessment materials, either individually or collectively
- l. publication and dissemination of teaching practices in scholarly journals, monographs, refereed electronic journals or other avenues of publication;
- m. high level knowledge and understanding of developments in the methodology and theory of teaching, assessment and curriculum development at the tertiary level
- n. evidence of recognition outside the Division and the University as an outstanding teacher, including wānanga and outreach programmes;
- o. outstanding contribution to the University's strategic goals in teaching that relate to outcomes for specific student groups;
- p. sustained outstanding contribution to convenorship and management activities.

17.2.2 Sustained high 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 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 and management, including service as a Director or Manager, within the University and/or the community
- b. demonstrating and fostering collegiality within the Department/School or externally
- c. significant review and/or quality assurance activities;
- d. advise governments and public enquiries, and serve on commissions of inquiry
- e. successful communication of the benefits of research and scholarship to the non-specialised public
- f. extensive contribution to Māori development within the University community
- g. extensive contribution to achievement of the goals of the Māori Strategic Framework
- h. providing extensive advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori
- i. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University
- j. extensive contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework
- k. contribution to the development, management or evaluation of community-based opportunities for service learning, outreach or community-engaged learning such as Hands-On at Otago, Science Wānanga;
- l. extensive service to external academic and/or professional activities such as board membership or conference organisation.
- m. contributing to continuing education, community debate and community development in the staff member's academic field;
- n. the extensive provision of academic service and advice to the community;
- o. successful development and implementation of health and safety measures in teaching;
- p. the provision of access to and participation in culture and/or science, which may include creation and dissemination of resources for non-academic audiences and uses;
- q. extensive appraisal of community service needs;
- r. contribution to the development and maintenance of enduring University partnerships with communities and community members
- s. extensive contribution to equity activities, recruitment, advertising and public relations;
- t. extensive contributions to planning and/or governance via union work.

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 18

Promotion to Professional Practice Fellow (Band 2)/Pikinga ki te Kairuruku Ritenga Utua (Pae 2)

18.1 GENERAL CRITERIA

Successful applicants will be appointed to step 1 of the Professional Practice Fellow (Band 2) salary scale

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

- teaching, assessment and curriculum development
- advancing professional practice
- service to the University and community, including demonstration of collegiality.

A Professional Practice Fellow who has demonstrated sustained competence in teaching, assessment and curriculum development, competence in advancing professional practice, and competence in service to the University will be promoted to Band 2 of the Professional Practice Fellow scale.

Equally, a Professional Practice Fellow who has demonstrated competence in teaching, assessment and curriculum development, sustained competence in advancing professional practice, and competence in service to the University will be promoted to Band 2 of the Professional Practice Fellow scale.

Research is not required but applicants who undertake research may submit evidence of that research. Undertaking research and related activities in their discipline or in teaching is encouraged and will be considered positively in an application.

In summary, applicants will be promoted to Professional Practice Fellow (Band 2) under the following minimum conditions:

| Teaching | Advancing Professional Practice | Service | |
|---------------------------|---------------------------------|----------------|-----------|
| Sustained Competence (SC) | Competence (C) | Competence (C) | <i>or</i> |
| Competence (C) | Sustained Competence (SC) | Competence (C) | |

For the demonstration of competence and sustained competence, criteria considered may include but are not limited to:

18.2 SPECIFIC CRITERIA

18.2.1 Sustained competence in teaching, assessment and curriculum development

The criteria used in evaluating teaching, assessment and curriculum development will take account of all aspects of the process of creating and sustaining an effective learning environment. Criteria considered may include but are not limited to:

- a. substantial contact teaching appropriate to the position held;
- b. distance teaching activities;
- 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. a record of supporting the professional understanding and teaching capacity of University staff;
- j. adherence to quality assurance methods in teaching and assessment;
- k. provision of course advice to students as a recognised and trained advisor;
- l. the design and implementation of innovation in assessment, curriculum or pedagogy, either individually or collectively;
- m. contribution to the publication of a textbook within the applicant's discipline or profession;
- n. knowledge and understanding of developments in the methodology and theory of teaching and learning at the tertiary level;
- o. application of professional practice to teaching;
- p. convenorship and management activities.

18.2.2 Competence in advancing professional practice

In order to qualify for promotion, a Professional Practice Fellow is required to maintain, as appropriate, vocational or professional registration or other professional requirements and have several years' experience in the profession.

For the demonstration of competence, applicants will need to provide evidence of continuing to practice professionally, and maintaining knowledge of scholarly activity relating to the profession.

For the demonstration of sustained competence, criteria considered may include but are not limited to:

- a. academic and professional contribution to government, iwi, professions or industry, such as running information or training sessions;
- b. professional peer recognition of contributions to work in profession;
- c. demonstrated contribution to consultancies with outside groups, resulting in practical outcomes including acceptance by the profession of resources or techniques developed;
- d. contribution to the advancement of professional practice through contributions in the media;
- e. performance in the practice of the profession, with evidence of contribution to technical developments and in professional organisations relating to this practice;
- f. 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;
- g. evidence of assistance to other academic staff in the development of their research programmes, through discussions during research development, review of grant applications and papers submitted for publication;
- h. contribution to the profession by publishing in professional magazines;
- i. evidence of scholarly contributions to conferences and forums.
- j. In some disciplines, professional practice may be demonstrated by 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 involvement in exhibitions or performances. Evidence that such contributions contribute to 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 awards.

18.2.3 Competence in service to the University

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

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 19

Promotion to Senior Professional Practice Fellow (Band 3)/Pikinga ki te Tauira Mātāmua Ritenga Ngaio (Pae 3)

19.1 GENERAL CRITERIA

Successful applicants will be appointed to step 1 of the Senior Professional Practice Fellow (Band 3) salary scale

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

- teaching, assessment and curriculum development
- advancing professional practice
- service to the University and community, including demonstration of collegiality.

A Professional Practice Fellow who has demonstrated sustained high competence in teaching, assessment and curriculum development, sustained high competence in advancing professional practice and sustained competence in service to the University and community will be promoted to Senior Professional Practice Fellow (Band 3).

Research is not required but applicants who undertake research may submit evidence of that research. Undertaking research and related activities in their discipline or in teaching is encouraged and will be considered positively in an application.

In summary, applicants will be promoted to Senior Professional Practice Fellow (Band 3) under the following minimum conditions:

| Teaching | Advancing Professional Practice | Service |
|---------------------------------|---------------------------------|---------------------------|
| Sustained High Competence (SHC) | Sustained High Competence (SHC) | Sustained Competence (SC) |

19.2 SPECIFIC CRITERIA

19.2.1 Sustained high competence in teaching, assessment and curriculum development

In assessing this, the University will look for ability to inspire high academic endeavour and for original thought with respect to teaching. Criteria considered may include but are not limited to:

- a. substantial contact teaching appropriate to the position held;
- b. highly-effective implementation of distance teaching activities;
- c. highly-effective development of methods of quality assurance in teaching, assessment and curriculum development;
- d. highly-effective teaching, course design and curriculum development;
- e. mentoring of colleagues;
- f. academic and pastoral contact with individual students;
- g. highly-effective remedial work demonstrated by excellent student outcomes;
- h. significant record of fostering the full development of individual student talent;
- i. significant record of enhancing the professional understanding and teaching capacity of University staff;
- j. significant record of development and implementation of quality assurance applied to teaching, assessment and curriculum development;
- k. sustained provision of highly-effective course advice as a recognised and trained advisor;
- l. development of significant innovations and/or publications in curricula, teaching procedures and teaching and/or assessment materials, either individually or collectively;
- m. significant contribution to publication and dissemination of teaching practices in scholarly and professional journals, monographs, refereed electronic journals or other avenues of publication;
- n. high level knowledge and understanding of developments in the methodology and theory of teaching and learning at the tertiary level;
- o. evidence of recognition outside the Division as an outstanding teacher, including wānanga and outreach programmes;
- p. significant contribution to the University's strategic goals in teaching that relate to outcomes for specific student groups;
- q. highly-effective application of professional practice to teaching;
- r. highly-effective contribution to convenorship and management activities.

19.2.2 Sustained high competence in advancing professional practice

In order to qualify for promotion, a Professional Practice Fellow is required to maintain, as appropriate, vocational or professional registration or other professional requirements and have several years' experience in the profession.

For the demonstration of sustained high competence, criteria considered may include but are not limited to:

- a. academic and professional contribution to government, iwi, professions or industry, such as developing and leading information or training programmes;
- b. professional peer-recognition of contributions to work in profession, locally and nationally;
- c. significant contribution to consultancies with outside groups, resulting in practical outcomes including acceptance by the profession of resources or techniques developed;
- d. significant contribution to the advancement of professional practice by research publication, textbook writing and conference presentations;
- e. significant contribution to the advancement of professional practice through contributions in the media;
- f. performance in the practice of the profession, with evidence of a major contribution to technical developments and in professional organisations relating to this practice;
- g. evidence of contribution to research developments in the staff member's own field as shown by publication of review articles or presentation of such material at academic meetings;
- h. evidence of contribution to development of their research programmes, through discussions during research development, review of grant applications and papers submitted for publication;
- i. significant contribution to the profession by publishing in professional magazines;
- j. a wide range of evidence of scholarly contributions to conferences and forums.

In some disciplines, professional practice may be demonstrated by 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 significant involvement in exhibitions or performances. Evidence that such contributions contribute to 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 awards.

19.2.3 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 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/Division and the University, but also to activities such as:

- a. policy-making and management within the Department, School or wider University;
- b. demonstrating collegiality within the Department/School or externally;
- c. engagement in review and/or quality assurance activities;
- d. using professional expertise to advise local organisations;
- e. contribution to Māori development within the University community;
- f. contribution to achievement of the goals of the Māori Strategic Framework;
- g. providing advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- h. in accordance with local kawa and/or tikanga Māori, assisting with events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- i. contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- j. engagement in community service such as Hands-on at Otago or health outplacement programmes;
- k. service to external academic and/or professional activities such as board membership or conference organisation;
- l. contributing to continuing education in the staff member's academic field;
- m. the provision of academic and professional service and advice to the community;
- n. engagement in development or implementation of health and safety measures in teaching;
- o. the provision of access to, participation in and development of culture and/or science;
- p. involvement in the appraisal of community service needs;
- q. contribution to University links supporting providers of community service;
- r. engagement in equity activities, recruitment, advertising and public relations;
- s. contributions to planning and/or governance via union work.

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 20

Promotion from Senior Professional Practice Fellow (Band 3) to Senior Professional Practice Fellow (Band 4)/Pikinga mai i te Tauira Mātāmua Ritenga Ngaio (Pae 3) ki te Tauira Mātāmua Ritenga Ngaio (Pae 4)

20.1 GENERAL CRITERIA

Successful applicants will be appointed to step 1 of the Senior Professional Practice Fellow (Band 4) salary scale

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

- teaching, assessment and curriculum development
- advancing professional practice
- service to the University and community, including demonstration of collegiality.

A Professional Practice Fellow who has demonstrated sustained outstanding competence in teaching, assessment and curriculum development, sustained high competence in advancing professional practice and sustained high competence in service to the University and community will be promoted to Senior Professional Practice Fellow (Band 4).

Equally, a Professional Practice Fellow who has demonstrated sustained high competence in teaching, assessment and curriculum development, sustained outstanding competence in advancing professional practice and sustained high competence in service to the University will be promoted to Senior Professional Practice Fellow (Band 4).

Demonstration of outstanding competence will be characterised by elements of leadership across the aspects of the role.

Research is not required but applicants who undertake research may submit evidence of that research. Undertaking research and related activities in their discipline or in teaching is encouraged and will be considered positively in an application.

In summary, applicants will be promoted to Senior Professional Practice Fellow (Band 4) under the following minimum conditions:

| Teaching | Advancing Professional Practice | Service |
|--|--|---|
| Sustained Outstanding Competence (SOC) | Sustained High Competence (SHC) | Sustained High Competence (SHC) <i>or</i> |
| Sustained High Competence (SHC) | Sustained Outstanding Competence (SOC) | Sustained High Competence (SHC) |

20.2 SPECIFIC CRITERIA

20.2.1 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. Criteria considered may include but are not limited to:

- substantial contact teaching appropriate to the position held;
- leading development of distance teaching activities;
- leading the development and utilisation of a suitable range of assessment methods used to serve diagnostic, formative and summative purposes;
- outstanding leadership in teaching, assessment and course design;
- demonstration of exceptional outcomes from mentoring colleagues;
- academic and pastoral contact with individual students;
- developing and leading highly effective remedial work demonstrated by excellent student outcomes;
- sustained outstanding record of fostering the full development of individual student talent
- sustained outstanding record of enhancing the professional understanding and teaching capacity of University staff;
- outstanding leadership in the development of methods of quality assurance in teaching, assessment and curriculum development;
- sustained provision of outstanding course advice as a recognised and trained advisor
- development of significant innovations and/or publications in curricula, teaching procedures and teaching and/or assessment materials, either individually or collectively
- publication and dissemination of teaching practices in scholarly and professional journals, monographs, refereed electronic journals or other avenues of publication;
- high level knowledge and understanding of developments in the methodology and theory of teaching and learning at the tertiary level

- o. evidence of recognition outside the Division and the University as an outstanding teacher, including wānanga and outreach programmes;
- p. outstanding contribution to the University's strategic goals in teaching that relate to outcomes for specific student groups;
- q. highly effective application of professional practice to teaching;
- r. sustained outstanding contribution to convenorship and management activities.

20.2.2 Sustained outstanding competence in advancing professional practice

In order to qualify for promotion, a Senior Professional Practice Fellow is required to maintain, as appropriate, vocational or professional registration or other professional requirements. They will have appropriate higher level clinical or professional qualifications and the competence and experience expected of a senior person in the profession.

For the demonstration of sustained outstanding competence, criteria considered may include but are not limited to:

- a. extensive academic and professional contribution to government, iwi, professions or industry which has influenced or changed professional practice, policy or advanced or expanded knowledge in the profession;
- b. professional peer-recognition of contributions to work in profession, either nationally or internationally;
- c. productive consultancies with outside groups, resulting in practical outcomes including acceptance by the profession of resources or techniques developed;
- d. influencing professional practice by research publication, textbook writing and conference presentations;
- e. influencing professional practice through contributions and citations in the media;
- f. outstanding performance in the practice of the profession, with evidence of leadership in technical developments and in professional organisations relating to this practice;
- g. evidence of active participation in research programmes, including involvement in research projects, active participation in departmental research meetings and joint authorship of research publications
- h. evidence 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;
- i. evidence of development of their own research programmes, through discussions during research development, review of grant applications and papers submitted for publication;
- j. extensive contribution to the profession by publishing in professional magazines;
- k. extensive evidence of scholarly contributions to conferences and forums.

In some disciplines, professional practice may be demonstrated by 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.

20.2.3 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. Promotion committees will mainly be concerned with service that makes a sustained contribution to helping the University achieve its academic goals and may include managerial or representative roles inside or outside the University. Such service will include high competence in activities such as:

- a. policy-making and management, including service as a Director or Manager, within the University and/or the community;
- b. demonstrating and fostering collegiality within the Department/School or externally;
- c. significant review and/or quality assurance activities;
- d. advise governments and public enquiries, and serve on commissions of inquiry;
- e. successful communication of the benefits of research and scholarship to the non-specialised public;
- f. extensive contribution to Māori development within the University community;
- g. extensive contribution to achievement of the goals of the Māori Strategic Framework;
- h. providing extensive advice within the University on kawa, tikanga Māori, te reo Māori or other aspects of Te Ao Māori;
- i. in accordance with local kawa and/or tikanga Māori, leading events such as Māori pre-graduation ceremonies, conferences, hui or official welcomes for or within the University;
- j. extensive contribution towards Pacific development and achievement of the objectives of the Pacific Strategic Framework;
- k. contribution to the development, management or evaluation of community-based opportunities for service learning, outreach or community-engaged learning such as Hands-On at Otago, or health outplacement programmes;

- l. extensive service to external academic and/or professional activities such as board membership or conference organisation;
- m. contributing to continuing education, community debate and community development in the staff member's academic field;
- n. the extensive provision of academic and professional service and advice to the community;
- o. successful development and implementation of health and safety measures in teaching;
- p. the provision of access to and participation in culture and/or science, which may include creation and dissemination of resources for non-academic audiences and uses;
- q. extensive appraisal of community service needs;
- r. contribution to the development and maintenance of enduring University partnerships with communities and community members;
- s. extensive contribution to equity activities, recruitment, advertising and public relations;
- t. extensive contributions to planning and/or governance via union work.

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.

APPENDIX 2 – APPLICATION FOR PROMOTION



Human Resources Division

Application for Academic Promotion 2024

Closing date for receipt by Human Resources is **Thursday 2 May 2024**. Please use the editable [Application Form](#).

1. Details of Applicant

| | | | |
|--|---|--------------------------|------------------------------------|
| Title (<i>Prof, Dr, Ms etc</i>) | <input type="text"/> | ID number | <input type="text"/> |
| Employee Name | <input type="text"/> | | |
| Department | <input type="text"/> | | |
| School/Division | <input type="text"/> | | |
| Current Position Title (<i>e.g. Lecturer, Senior Research Fellow</i>) | <input type="text"/> | | |
| Current Salary Grade (<i>e.g. LL06, SL02</i>) | <input type="text"/> | FTE (% of employment) | <input type="text"/> |
| Appointment Status (<i>select one</i>) | <input type="checkbox"/> Fixed term | OR | <input type="checkbox"/> Permanent |
| Promotion sought to | <input type="text"/> | Schedule no. | <input type="text"/> |
| Assessment period (<i>see policy section 5</i>) | <input type="checkbox"/> Full career (<i>applications to AP / Prof</i>) | OR | |
| | <input type="checkbox"/> From date: | <input type="text"/> | |

(*since appointment to current position or since submission of last successful promotion application*)

2. Standards being claimed in relation to promotion criteria:

Applicants for promotion under **Schedule 1** (*Additional salary increments*) and **Schedule 7** (*Promotion from Assistant Research Fellow below the bar to Assistant Research Fellow beyond the bar*) do not need to be rated as below.

| | | |
|----------|--------------------------|--|
| Teaching | <input type="checkbox"/> | SC – Sustained Competence |
| | <input type="checkbox"/> | SHC – Sustained High Competence |
| | <input type="checkbox"/> | SOC – Sustained Outstanding Competence |
| | <input type="checkbox"/> | SOLC – Sustained Outstanding Leadership & Sustained Outstanding Competence |

| | | |
|--------------|--------------------------|--|
| Research | <input type="checkbox"/> | C – Competent |
| or | <input type="checkbox"/> | SC – Sustained Competence |
| Professional | <input type="checkbox"/> | SHC – Sustained High Competence |
| Practice | <input type="checkbox"/> | SOC – Sustained Outstanding Competence |
| | <input type="checkbox"/> | SOLC – Sustained Outstanding Leadership & Sustained Outstanding Competence |

| | | |
|---------|--------------------------|--|
| Service | <input type="checkbox"/> | C – Competent |
| | <input type="checkbox"/> | SC – Sustained Competence |
| | <input type="checkbox"/> | SHC – Sustained High Competence |
| | <input type="checkbox"/> | SOC – Sustained Outstanding Competence |
| | <input type="checkbox"/> | SOLC – Sustained Outstanding Leadership & Sustained Outstanding Competence |

3. Absences and reduced hours during the assessment period for this promotion

Please identify any absences of three months or more because of illness or other reasons during the assessment period for this promotion application. Please do not provide any details of the illness. Your Head of Department will confirm the absence:

| | | | | | |
|-------------|----------------------|-----------|----------------------|------------------------|----------------------|
| Start Date: | <input type="text"/> | End Date: | <input type="text"/> | Total Number of weeks: | <input type="text"/> |
| Start Date: | <input type="text"/> | End Date: | <input type="text"/> | Total Number of weeks: | <input type="text"/> |

Please identify any absences during the assessment period for this promotion application because of **parental leave**:

| | | | | | |
|-------------|----------------------|-----------|----------------------|------------------------|----------------------|
| Start Date: | <input type="text"/> | End Date: | <input type="text"/> | Total Number of weeks: | <input type="text"/> |
| Start Date: | <input type="text"/> | End Date: | <input type="text"/> | Total Number of weeks: | <input type="text"/> |

Please identify any periods of three months or more during the assessment period for this promotion application when your **hours were reduced significantly**:

| | | | | | | | |
|-------------|----------------------|-----------|----------------------|-------------|----------------------|--------------|----------------------|
| Start Date: | <input type="text"/> | End Date: | <input type="text"/> | Normal FTE: | <input type="text"/> | Reduced FTE: | <input type="text"/> |
| Start Date: | <input type="text"/> | End Date: | <input type="text"/> | Normal FTE: | <input type="text"/> | Reduced FTE: | <input type="text"/> |

Additional periods of absences may be listed on a separate sheet. You may wish to comment on prolonged absences or changes of hours in your personal statement.

Briefly explain the impact on your work of any absences or reduced hours listed above. Do not discuss the reason for the absence.

4. Additional Senior Academic assessment statement

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? *(If so, the statement must be submitted by email to*

academic.promotions@otago.ac.nz on or before 5pm, Thursday 2 May 2024, using the standard form)

| | |
|-----|--------------------------|
| Yes | <input type="checkbox"/> |
| No | <input type="checkbox"/> |

If YES, please name the colleague

5. Applicant signature

| | | |
|----------------------|------|----------------------|
| <input type="text"/> | Date | <input type="text"/> |
|----------------------|------|----------------------|

6. Documentation numbering

Tick ✓

| | |
|--|--------------------------|
| 1. This application form | <input type="checkbox"/> |
| 2. Personal statement (limit 3 pages, 1.5 spacing, 12 font) | <input type="checkbox"/> |
| 3. Referees Form for staff seeking promotion to Associate Professorial or Professorial positions | <input type="checkbox"/> |
| 4. Curriculum vitae in standard format | <input type="checkbox"/> |
| 5. Otago Teaching Profile submitted as one pdf which includes: | <input type="checkbox"/> |
| a. Self-Evaluation of Teaching Statement (limit 2 pages, 1.5 spacing, 12 font) | <input type="checkbox"/> |
| b. Schedule of teaching responsibilities | <input type="checkbox"/> |
| c. Reports from student evaluation questionnaires | <input type="checkbox"/> |
| d. Reports from Coordinator/Team Leader Evaluation Questionnaires (optional) | <input type="checkbox"/> |
| e. Teaching Context forms (optional) | <input type="checkbox"/> |
| f. Records of Peer review (only if peer review used) | <input type="checkbox"/> |
| g. List of teaching documents on-call | <input type="checkbox"/> |
| 6. Copies of evaluative reviews in the case of staff members who have published a book or evaluation reviews of artistic performances (if available) | <input type="checkbox"/> |
| 7. Evidence of acceptance of Publications (see notes on Curriculum Vitae - appendix 4 below) | <input type="checkbox"/> |
| 8. The HOD/Dean's confidential Assessment Statement (in standard format) | <input type="checkbox"/> |

NO OTHER DOCUMENTATION MAY BE PROVIDED

You must provide your application documents to your Head of Department (Head of School in Humanities) by the date they require.

You must upload your application documents in final form into the application portal by 5pm on the closing date of Thursday 2 May 2024.

Human Resources will acknowledge receipt of your application by 5pm, Tuesday 7 May 2024, via the email address associated with your staff account.

APPENDIX 3 – THE OTAGO TEACHING PROFILE

See the HEDC website for more details –

<http://www.otago.ac.nz/hedc/evaluate/profile/index.html>

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 an opportunity for staff to reflect on their teaching. It is an evidence-based account of development, and achievements, as a teacher.

Detailed advice on the preparation of the Profile is available from the Higher Education Development Centre in the document: A Guide to the Otago Teaching Profile <http://www.otago.ac.nz/hedc/evaluate/profile/index.html>

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

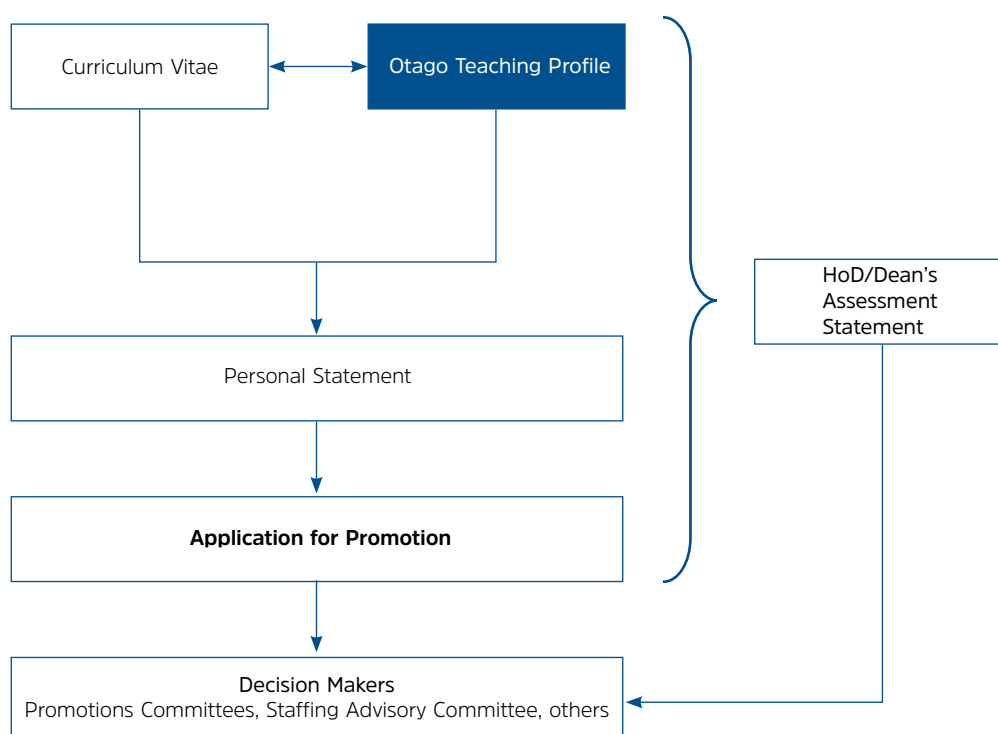


Figure 1: The Otago Teaching Profile and its Relation to Other Promotion Documentation

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).

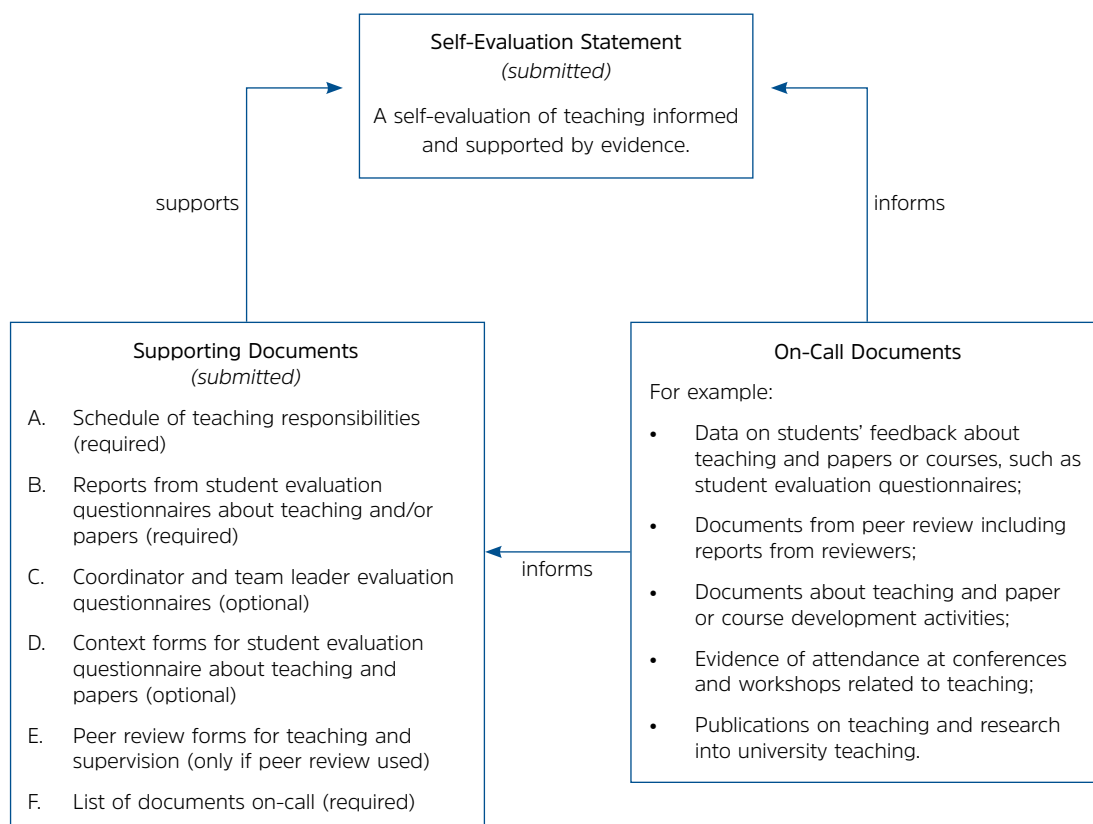


Figure 2: The Components of the Otago Teaching Profile

Self-Evaluation of Teaching Statement

The central feature of the Teaching Profile is a self-evaluation of teaching 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 Promotions Committee.**

The self-evaluation of teaching statement is expected to show the reader the quality of your teaching. The content should summarise and present the evidence for the quality of your teaching, taken from all sources. 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 and expand rather than duplicate other material, such as the promotion personal statement, that is submitted in the overall application (see Figure 1). A promotion application statement is about the whole of the staff member's academic endeavours, whereas the self-evaluation of teaching statement focusses on their teaching only. The self-evaluation statement should include:

- i. An explanation of the context in which you teach;
- ii. A summary and justification of what you aim for students to learn in that context (your learning objectives);
- iii. a description, with evidence and examples, of how you enable students to meet the learning objectives;
- iv. a summary, with evidence and examples, of how well you succeeded in achieving your aims, with particular reference to evidence of student learning;
- v. a description, with evidence and examples, of how you have improved your teaching and student learning;
- vi. a description and explanation, with evidence and examples, of goals for the further development and improvement of your teaching; and
- vii. an explanation of any evidence or data that seems contrary to the case you are making for the quality of your teaching.

Supporting Documents

See section 3.4 for specific requirements.

Schedule of teaching responsibilities (*Template updated January 2022*)

NAME: _____ DATE: _____

This form is part of the Otago Teaching Profile and is intended to give an overview of your recent teaching contributions and how these have been evaluated.

- Add further rows as necessary. Normally, the schedule should display your teaching for the current year and previous three years.
- In the notes section for each year listed, you may wish to give context by listing factors affecting teaching opportunity for that year e.g. RSL, FTE reduction; research grant.
- Note that contact teaching hours do not include one-to-one meetings with students.

| 1. Year | 2. Paper or course | | 3. Teaching contributions (Contact teaching hours per year) | | | | 4. Other teaching contributions | | 5. Leadership responsibilities (e.g. course planner, course coordinator, development of new teaching materials) | 6. Student questionnaires | | 7. Peer reviews | |
|---|---|-----------------------|--|---------------------------|----------------------------|------------------------------|--|--|--|---------------------------|-----------------------|-----------------|-----------------------|
| | Paper code | Enrolments (estimate) | lecture (hours per year) | tutorial (hours per year) | practical (hours per year) | Total contact hours per year | e.g. fieldwork practicums, distance teaching, clinical teaching, etc (specify) | Total 'other' contact hours | | Date of questionnaire | Report attached (Y/N) | Date of review | Record attached (Y/N) |
| <i>Exemplar – please delete these rows before finalising the schedule</i> | UNIV 101 S1 and S2 | 100 | 10 x 2h | 20 x 1h x 3 streams | | 20 + 60 | Fieldwork – 2 days per semester | 20 | Course coordinator | 14.4.23 | Y | 29.4.23 | Y |
| | UNIV 102 | 75 | | | | nil | Clinical teaching Distance teaching | 15 | | | | | |
| | Total contact hours for all papers - example | | | | | | | Total 'other' contact hours - example | 45 | | | | |
| Example notes: My FTE was reduced to 0.8FTE this year so I did not teach all the UNIV101 lectures. | | | | | | | | | | | | | |
| 2023 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | Total contact hours for all papers - 2023 | | | | | | | Total 'other' contact hours - 2023 | | | | | |
| | 2023 notes: | | | | | | | | | | | | |
| 2022 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | Total contact hours for all papers - 2022 | | | | | | | Total 'other' contact hours - 2022 | | | | | |
| | 2022 notes: | | | | | | | | | | | | |
| 2021 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | Total contact hours for all papers - 2021 | | | | | | | Total 'other' contact hours - 2021 | | | | | |
| | 2021 notes: | | | | | | | | | | | | |

| | |
|-------|--------------|
| NAME: | Dept/School: |
| | Year |

Context form for evaluations of teaching and of courses

- 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.

THIS FORM IS OPTIONAL. The purpose of this form is to identify and describe the teaching conditions of the papers which have been evaluated and to provide an appropriate context for the interpretation of the results obtained from the students' evaluation of your teaching and/or paper as presented on the attached report/s.

| | Enter Paper Code → | Enter date of Evaluation Questionnaire → | Circle Evaluation Type → | Individual Teacher/ Paper | Individual Teacher/ Paper | Individual Teacher/ Paper | Individual Teacher/ Paper |
|--|--------------------|--|--------------------------|------------------------------|------------------------------|------------------------------|------------------------------|
| 1. Is this the first time you have taught this paper? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA |
| 2. Is this the first time the paper has been offered in the programme? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA |
| 3. Has the paper been modified significantly since it was last offered? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA |
| 4. How long before the paper began did you know you would be teaching? | | | | | | | |
| 5. Is the paper compulsory for the enrolled students? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA |
| 6. How would you rate the difficulty of the paper for students? Enter: 1. if the majority of students find the paper 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 paper including the assessment tasks? | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA | Yes/No/NA |
| 8. Were you responsible for the development of the paper materials? | Yes/No/NA | Yes/No/NA | Yes/No/NA | 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? | | | | | | | |

APPENDIX 4 – 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. Employment history

- (a) Present position
- (b) Employment history

5. Other relevant experience

- (a) Experience working in an overseas country (not previously listed)
- (b) National/International Collaboration

6. 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. Please list all named investigators in the order in which they were submitted to the funding organization.
- (d) Supervision of postgraduate students (list all supervisors with the name of the primary supervisor in bold, your percentage of the supervision, as agreed with the Doctoral and Scholarships Office, the enrolment date and the completion date)

7. Distinctions

8. 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

9. 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)

10. Publications

List publications 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. For each yet to be published item please attach to the CV a copy of the publisher's letter advising of acceptance for publication and give an indication as to the word count. Failure to provide evidence of acceptance of publications means that promotion Committees will not include them as part of the case for promotion.

Provide pagination details of publications where possible, or web locations for on-line publications.

Your role in edited books and multi-author articles should be described. This may include details about your contribution to performance of the research and in the writing of the manuscript. In some cases, where you have a very large publication list, it may be appropriate to provide this information for publications for the last five years only or for your most significant publications.

Include a brief preface to the publication list outlining the significance of author order.

Be very clear about conference contributions. You may wish to consider using the "MyResearch" categories.

| | <i>List in CV section</i> |
|--|---------------------------|
| <i>Conference Contribution – Published proceedings: Full paper</i> | <i>10g</i> |
| <i>Conference Contribution – Published proceedings: Abstract</i> | <i>10h</i> |
| <i>Conference Contribution – Editor of conference proceedings</i> | <i>10g or 10a</i> |
| <i>Conference Contribution – Poster Presentation (not in published proceedings)</i> | <i>10h</i> |
| <i>Conference Contribution – Verbal presentation and other Conference outputs (not in published proceedings)</i> | <i>10h</i> |

Please do not bold any author's name.

- (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 and/or URL for all articles)
- (h) Other Significant Conference Involvement (including conference abstracts, presentations, invited papers etc)
- (i) AudioVisual Recordings
- (j) Computer Software
- (k) Technical Drawing/Architectural and Industrial Design/Working Model
- (l) Patents: indicate the stage of the patent (e.g. provisional, PCT or national/regional phase including a complete list of jurisdictions where the application has been filed), the date of filing and application number, and grant details including date of grant and patent number where grant has occurred.
- (m) Other Creative Works

11. University Service (not listed elsewhere) (Please include dates)

- (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

12. Professional activities and commercialisation of research activities (please include dates)

- (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
 - (iii) Professional advice to commercial/industrial organisations
- (b) Service to external academic and/or professional activities
 - (i) Service to, or leadership in, academic discipline or professional associations
 - (ii) Editorship of journals and periodicals

13. Community Service (Please include dates)

- (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

NOTES:

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.

Each category of publication in Section 10 of the CV should be listed in date order, preferably with the most recent publication first.

When listing yet to be published items under Section 10 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 and staff should also give an indication as to the word count.) 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 10(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.nz/humanresources/training/academic-staff/academic-promotion/index.html>

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, executive staff should attach copies of evaluative 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.

APPENDIX 5 – HEAD OF DEPARTMENT ASSESSMENT STATEMENT



Human Resources Division

Confidential

Head of Department Assessment Statement for Academic Promotion

Deadline for receipt by Human Resources is **Thursday 5pm 2 May 2024**. Please use the editable form at <https://www.otago.ac.nz/humanresources/otago087526.docx>

This form is to be completed by the HOD, under the terms of the Academic Staff Promotion Policy. This form is also used for the optional Additional Senior Academic Assessment Statement.

- Please give an impartial validation of 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 type your comments

1. Details of Applicant

| | | | |
|---|----------------------|-----------------|----------------------|
| Employee Name | <input type="text"/> | | |
| Department | <input type="text"/> | School/Division | <input type="text"/> |
| Current Salary Grade (e.g. LL06, SL02) | <input type="text"/> | | |
| Promotion sought to | <input type="text"/> | Schedule no. | <input type="text"/> |

2. Assessment of Achievement in each area

Consider the applicant's application in each of the key areas (as applicable to the promotion) against the criteria outlined in the relevant schedule for the promotion sought. Please comment and then tick one box for each area. Applicants for promotion under Schedule 1 (Additional salary increments) and Schedule 7 (Promotion from Assistant Research Fellow below the bar to Assistant Research Fellow beyond the bar) do not need to be rated as below.

| | | |
|--|------------------------------|--|
| Teaching | <input type="checkbox"/> | SC – Sustained Competence |
| | <input type="checkbox"/> | SHC – Sustained High Competence |
| | <input type="checkbox"/> | SOC – Sustained Outstanding Competence |
| | <input type="checkbox"/> | SOLC – Sustained Outstanding Leadership & Sustained Outstanding Competence |
| | Comment <input type="text"/> | |
| Research or Professional Practice | <input type="checkbox"/> | C – Competent |
| | <input type="checkbox"/> | SC – Sustained Competence |
| | <input type="checkbox"/> | SHC – Sustained High Competence |
| | <input type="checkbox"/> | SOC – Sustained Outstanding Competence |
| | <input type="checkbox"/> | SOLC – Sustained Outstanding Leadership & Sustained Outstanding Competence |
| Comment <input type="text"/> | | |
| Service | <input type="checkbox"/> | C – Competence |
| | <input type="checkbox"/> | SC – Sustained Competence |
| | <input type="checkbox"/> | SHC – Sustained High Competence |
| | <input type="checkbox"/> | SOC – Sustained Outstanding Competence |
| | <input type="checkbox"/> | SOLC – Sustained Outstanding Leadership & Sustained Outstanding Competence |
| Comment <input type="text"/> | | |

3. HOD's Recommendation

Select

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 evaluative statement on the understanding that it will remain confidential to those concerned with considering this promotion until the applicant is notified of the promotion decision and that it will not be used for any other purpose.

Signature

Date

Name

Department

4. Conflicts of Interest

Select

I have no conflict of interest.

☐

I have a conflict of interest, as follows (e.g. I have co-authored work with the applicant during the period of assessment):

☐**5. HOD's Checklist**

Select

Have you discussed this application with the applicant?

☐

Are you satisfied that the applicant is applying for the appropriate promotion (not too high or too low)?

☐

Have you commented on:

a. The effect on the quantity of work of part-time hours, or any temporary absence or reduction in hours

☐

b. Student and course evaluations of teaching and compared them with the expectations for the department or division?

☐

c. Recent peer evaluations of teaching?

☐

d. The quality of significant publications and where these are ranked within your discipline?

☐

e. Have you commented on the significance of conference proceedings in your discipline or profession?

☐

f. The applicant's contribution to multi-author publications? Such comments are particularly important in helping Committees reach a decision.

☐

g. The quality of post graduate supervisions?

☐

h. The esteem of the applicant by peers?

☐

i. The applicant's contribution to the research environment?

☐

j. Any prolonged absences which may have affected the quantity of the research output?

☐

k. The role and significance of the applicant's contribution to departmental or other University Committees or, for example, to professional organisations?

☐

Checking applicant's documentation:

a. The documentation is complete

☐

b. Only the required documentation submitted. For example, student evaluations of teaching prior to 2021 should not be provided except in exceptional circumstances.

☐

c. The CV is up to date and complete, and includes pagination and author contribution information for publications.

☐

d. Referee nominations are appropriate and relationship details are provided (Associate Professor and Professor level applications only)

☐

e. The performance ratings, comments and recommendation are consistent with the promotion sought.

☐

f. If the applicant works part-time, you have confirmed that the applicant has provided enough information for the promotion committee determine whether the applicant's achievements reach the appropriate standard relative to their opportunities to achieve them. See section 25.7 for further information.

☐

g. There are copies (if available) of evaluative reviews in the case of staff members who have published a book or evaluation reviews of artistic performances.

☐

h. You have confirmed (if appropriate) claims about the quality of performance venues, publishers, labels, reviewers, contracts and commissions in applications based on creative or performance outputs.

☐

i. It is clear which publications contribute to achievements since the applicant's appointment or last promotion. Research outputs should not be included which were accepted but not published at the time of appointment or last successful application for promotion.

☐

j. The applicant has made a clear distinction in the CV between proceedings, abstracts and presentations.

☐

k. The applicant has addressed the correct period of assessment (see Policy Section 5)

☐

6. Dean's Recommendation (Health Sciences)

Select

I endorse the HOD's comments

☐

I attach my comments separately

☐

I provide this evaluative statement on the understanding that it will remain confidential to those concerned with considering this promotion until the applicant is notified of the promotion decision and that it will not be used for any other purpose.

Dean's Signature


Date

Please sign the form and forward by email to Human Resources account academic.promotions@otago.ac.nz by **5pm, Thursday 2 May 2024**.

Refer to Section 9

Academic Promotion policy

UNIVERSITY
OTAGO



To Whānau Whānau e Otago

NEW ZEALAND

Referee Form required for schedules:
Schedule 5 - To Associate Professor
Schedule 6 - To Professor
Schedule 11 - To Research Associate Professor
Schedule 12 - To Research Professor

☐

a minimum of five referees are required

| Applicant's Title | Applicant's First Name | Applicant's Surname | Department | School | Division | Academic Promotion Schedule <i>[use drop downlist]</i> | Location of Referee <i>[use drop downlist]</i> | Referee Title <i>(the referee must be of equivalent or higher standing than the promotion sought)</i> | Referee Given name | Referee Surname | Referee Institution | Referee email address | Relationship Information | | | | | | Comments about this referee's expertise | |
|-------------------|------------------------|---------------------|------------|--------|----------|---|---|---|--------------------|-----------------|---------------------|-----------------------|---------------------------------------|--|---|--|--------------------------|--|---|--|
| | | | | | | | | | | | | | Past colleague in the same Department | Co-author- state most recent year of co-authorship | Research collaborator - state most recent year of collaboration | Acquaintance in the same/similar research area | Not personally known | Other - please specify (eg, co-supervisor) | | Comments about your relationship with this referee |
| | | | | | | | | | | | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | | | | | | | | | | | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | | | | | | | | | | | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | | | | | | | | | | | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | | | | | | | | | | | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | | | | | | | | | | | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | | | | | | | | | | | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |

