

# 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 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 2019, 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 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 that 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, 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 and that it includes reports from evaluation questionnaires for no more than the past three calendar years at Otago (2016, 2017 and 2018) only unless there are special reasons given. Evaluations prior to 2016 may be submitted only if the applicant did not teach at all for a full year between 2016 and 2018. A summary of the evaluation data from previous years may be included in the Self-Evaluation of Teaching statement, and in the personal statement for applications for promotion at Associate Professor level or higher.
- applicants submit the standard CV correctly, particularly in relation to the listings of publications, and ensure that material is not duplicated within the document.

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

You should ensure that there are no inappropriate details in the applicants' CVs or other documentation before their application 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.

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

- the student 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, if the applicant is part-time;
- 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.

### 25.5 CONFIDENTIALITY OF THE ASSESSMENT STATEMENT

The Assessment Statement prepared by you, as Head of Department (and Dean where applicable), or someone acting in that role, is normally kept confidential at the time the assessment is made. However, the University is obliged to release that statement to applicants once the applicant has been notified of the decision about their promotion should they request it. You may, if you wish, show this statement to the staff member concerned. 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 should 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](mailto:academic.promotions@otago.ac.nz)

Copies of this document including appendices are available on the University of Otago website at: [otago.ac.nz/administration/policies/otago003006.html](http://otago.ac.nz/administration/policies/otago003006.html)