

Part C

GUIDANCE FOR PROMOTION COMMITTEES

26. ROLE OF DIVISIONAL PROMOTION COMMITTEES

26.1 DELEGATED AUTHORITY

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

The delegation is also made on the basis that all the documentation and processes have been fully complied with. For example, the absence of required documentation such as 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 to Research Fellow (subject to confirmation from the Head of Department that the grant has sufficient funds to meet any additional costs or that the cost centre will support the increase);
- from Teaching Fellow to Teaching Fellow beyond the bar;
- Senior Teaching Fellow promotion beyond LL03;
- from Lecturer to Senior Lecturer*;
- to Senior Research Fellow (subject to confirmation from the Head of Department that the grant has sufficient funds to meet any additional costs or that the cost centre will support the increase);
- 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*.

** including confirmation path staff members in unconfirmed positions*

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

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

26.2 MEMBERSHIP OF THE DIVISIONAL COMMITTEES

Each Division has a Promotions Committee constituted as follows:

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

The four senior staff members from within the Division should ideally be people who have served on Staffing Advisory Committee, or have had experience as a Head of Department within the Division, or alternatively be a staff member of the Division who has sufficient experience to sit on such a Committee. 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 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:

<i>Commerce</i>	<i>Health Sciences (Committee 2) and Sciences</i>
<i>Health Sciences Committee 1</i>	<i>Sciences and Commerce</i>
<i>Health Sciences Committee 2</i>	<i>Sciences and Humanities</i>
<i>Humanities</i>	<i>Commerce and Health Sciences (Committee 2)</i>
<i>Sciences</i>	<i>Humanities and Health Sciences (Committee 1)</i>

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 **Friday 8 March 2019**. 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.

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

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.

26.3 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. Staff applying for promotion will be excluded from appointment as an observer.

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 Friday 28 June 2019.

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 DIVISIONAL COMMITTEE MEMBERS

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

Copies of this document including appendices are available on the University of Otago website:
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 or Senior Lecturer/Senior Research Fellow progression, 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.

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 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 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 Staffing Advisory Committee must reach the Human Resources Manager, Promotions and Remuneration, Human Resources Division by **Friday 28 June 2019**. 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 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 Staffing Advisory Committee on cases to be considered by that Committee, must include a grading of, "strongly supported," "supported," or "not supported" and be accompanied by a brief justification by the Pro-Vice-Chancellor of the reasons for each grading.

In 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 Staffing Advisory Committee for final decision;

- if the recommendation for promotion or progression is a majority vote as opposed to a unanimous one, Staffing Advisory Committee must be advised if either the Pro-Vice-Chancellor or external representatives dissent and the reasons for the different viewpoints. In such a case the Staffing Advisory Committee reserves the right to review the recommendation;
- 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, Staffing Advisory Committee must be advised and informed why the majority of the Divisional representatives do not support the case;
- if no member of the Promotion Committee supports the case for promotion or progression Staffing Advisory Committee should be advised to this effect, together with the reasons;
- if 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.

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 Staffing Advisory Committee by Friday 28 June 2019 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 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 NOMINATING EXTERNAL ASSESSORS

Pro-Vice-Chancellors may wish to seek the advice of Divisional Committees in choosing external assessors for applicants for Professor, Clinical Professor and Research Professor.

External assessors are considered to be full members of the Committee established by the Vice-Chancellor to consider applications for promotion to professor. This means that assessors are asked, to the extent that it is possible, to comment on the full range of the applicant's achievements in teaching, research and service. The external assessors may comment not only on the application but on the comments made by the Head of Department and the referees. In comparison, a referee is generally asked only to comment on the applicant's research. There is no expectation that external assessors will be familiar with everything that the applicant has achieved.

Pro-Vice-Chancellors normally should not contact the Department to identify External Assessors. In some cases, it may be preferable to contact Departments in the same discipline at other Universities to obtain advice about likely assessors.

Pro-Vice-Chancellors are required to provide to the Human Resources Division by Friday 23 August 2019 nominations for the Special Advisory Committee. Pro-Vice-Chancellors must nominate two people as external assessors for each applicant for Professor, Clinical Professor and Research Professor. Full contact and relationship details must be provided. Please note that external assessors may not be referees nominated by the applicant. The Human Resources Division will write in early August with a list of applicants who have been referred to the Special Advisory Committee to consider the applications.

26.14 NOTIFICATION OF DECISIONS

1. No applicant should be notified of the promotion decision until **Thursday 10 October 2019**.
2. Responsibility for advising unsuccessful applicants for promotion of the outcome of their case and the reasons for their promotion not being approved rests with the Human Resources Division. In the case of promotional steps for which decisions have been delegated to Divisions, the Human Resources Division will draft letters based on the reasons submitted by the Pro-Vice-Chancellor at the time Divisional decisions and recommendations are submitted to Staffing Advisory Committee.
3. All successful applicants for promotion will receive formal notification from the Human Resources Manager, Promotions and Remuneration, Human Resources Division at the end of the promotion exercise. These will be sent in order to reach applicants on **Thursday 10 October 2019**. 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.

26.15 CONFIDENTIALITY

Divisional Committees will operate with regard to the principle of strict confidentiality.

27. ROLE OF THE STAFFING ADVISORY COMMITTEE

27.1 DELEGATED AUTHORITY

The 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 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 Staffing Advisory Committee are referred to the Divisional Committee for an initial assessment. The final authority rests with the Vice-Chancellor.

27.2 CHAIRPERSON

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 Manager, Recruitment, Development and Equity, 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.

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

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

- approve the promotion;
- decline the promotion;
- give further consideration (in the case of applicants for promotion to Associate Professor/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.

27.6 NOTIFICATION OF DECISIONS

1. No applicant should be notified of the promotion decision until **Thursday 10 October 2019**.
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 letters from the Human Resources Manager, Promotions and Remuneration, Human Resources Division. These will be mailed in order to reach applicants on **Thursday 10 October 2019**. 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 COMMITTEES 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;
- One external assessor for each applicant, nominated by the Pro-Vice-Chancellor and approved by the Vice-Chancellor.

Pro-Vice-Chancellors are required to provide to the Human Resources Division by Friday 23 August 2019 nominations for the Special Advisory Committee. The nominations will be referred to the Vice-Chancellor for approval.

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

External assessors are considered to be full members of the Committee established by the Vice-Chancellor to consider applications for promotion to professor. This means that assessors are asked, to the extent that it is possible, to comment on the full range of the applicant's achievements in teaching, research and service. The external assessors may comment not only on the application but on the comments made by the Head of Department and the referees. There is no expectation that external assessors will be familiar with everything that the applicant has achieved.

Where an External Assessor or any other member of the Vice-Chancellor's Special Advisory Committee is unable to participate, it will be up to the Vice-Chancellor to determine whether the Special Advisory Committee has received sufficient advice for the Vice-Chancellor to make a decision.

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