



Dean's Office, 3.10 Huri #oaxa (Hoerikwaggo) Building, North Lane, Upper Campus, University of Cape Town
 Web: www.ched.uct.ac.za
 Email: dean.ched@uct.ac.za
 Tel: (021) 650 3490

MEMO

To: All permanent academic staff in CHED
From: Associate Professor Kasturi Behari-Leak, Dean (CHED)
Date: Monday, 8 May 2023
Cc: Mzi Mnyatheli & Rayaana Savahl
Subject: Performance reviews, ad hominem promotion and excellence/merit awards for academic staff for 2023

Dear Colleagues

We are entering the period of our annual process for reviewing the performance of academic staff and assessing applications for ad hominem promotions and academic excellence and merit awards¹. This letter sets out the procedures relating to performance reviews and applications for Ad hominem promotion, excellence, and merit awards. The CHED promotion and excellence/merit guidelines (as approved in 2014), for regular and academic teaching posts, as well as the timeline for the process (p. 6), are included with this document.

Should line managers / HODs / Directors need to discuss any particular staff member's performance, please arrange a meeting with the Dean. Mzi Mnyatheli is responsible for the administration of the process, so please direct administrative enquiries to him (mzi.myatheli@uct.ac.za).

If you have other queries about the process, please consult your HOD/Director, unit head or HR Business Partner, Rayaana Savahl(rayaana.savahl@uct.ac.za).

Performance reviews

The Standard Academic Salary Package (SASP) performance assessment system for academic staff makes provision for a four-year performance review cycle. The new cycle commenced in January 2023 and will formally come to an end in December 2026. A cycle requires formative performance discussions with academic staff every two years, i.e., year one and year three, and

¹Information on the nature and purposes of the academic excellence and merit awards, as well as procedures and guidelines, are included in the attached 'Guidelines for ad hominem promotion and academic excellence and merit awards' (p.9) of this document).

formal performance reviews every alternate year, i.e., mid-term (year 2) and at the end of the cycle (year 4). We are in year 1 of the current cycle.

Performance discussions must be held with each academic staff member intending to apply for ad hominem promotion or excellence/merit awards, as well as with those staff members where performance issues have been identified and/or where support is required to ensure that the staff member is able to improve upon the areas of concern that have been identified.

Staff who are considering applying for ad hominem promotion, excellence or merit awards are expected to attend the webinar on Tuesday, 16 May 2023 at 1-2 pm – details below. They must hold a meeting with their line manager and complete the [HR174](#) and [HR175](#) forms by Monday, 5 June 2023.

All other academic staff (***those not applying for ad hominem promotion or an award***) are encouraged to complete the [HR174](#) form focusing on the past year's performance. These forms must be submitted to hrformschedhrpb@uct.ac.za. [HR175](#) forms are to be completed and signed off by Heads of Departments (HODs) or Directors, where applicable. **The deadline for the completion of performance discussions is Tuesday, 31 October 2023.**

Process for ad hominem promotion and academic excellence and merit awards 2023

CHED academic staff who are on permanent conditions of service, and who believe that their performance in their current position is exceptional, are invited to apply for ad hominem promotion or excellence/merit awards. Heads of Departments, Directors or Unit Heads are also entitled to nominate staff for promotion.

In order to support applicants and their line managers in the ad hominem process, we have arranged webinars and a workshop to provide pertinent information on what the application process entails, what counts as evidence and success and the four pillars that applicants will be assessed against. Applicants are encouraged to engage fully to be better equipped to construct and submit their applications in a coherent and well aligned manner.

1. Are you ready? Is the time, right?

Webinar for potential applicants: General orientation to the CHED ad hom promotion process: Date: Tuesday, 16 May from 1-2 pm.

All CHED academic staff who are thinking of applying for Ad Hom promotion now or in the near future should attend. Their line managers & HODs (Directors) are also welcome to attend.

2. Your role in the Ad Hom process.

Webinar for CHED line managers, Directors and HODs: Date: Monday, 22 May from 1-2 pm.

All line managers and HODs of potential applicants should attend this webinar, which will guide attendees in (1) appraising potential ad hom applicants realistically and (2) providing support for all their academic staff towards promotion now or in the future.

3. Portfolio Curation and Framing

Workshop for applicants [1.5-2 hours. Date & venue to be organised to suit participants]

4. Portfolio Feedback: Individual consultation: Ad hom applicants are invited to book a 45-minute slot with Professor Alan Cliff to review their draft portfolios, particularly the narrative section.

5. **CHED Promotion and Remuneration Committee** will consider applications and nominations for ad hominem promotion and merit awards. Applicants are informed of the outcome in once the process is concluded, in the latter part of the year.

Composition and Remit of CHED Promotion and Remuneration Committee

The CHED Promotion and Remuneration Committee includes all HODs and Directors, as approved by the Board for Higher Education Development (CHED Board) at the May 2019 meeting. All Faculty Promotion and Remuneration Committees include a DVC and two external Deans. In addition, CHED includes two to three senior members of the academic staff external to CHED, selected for their broad-based expertise, since CHED is a cross-faculty structure.

As noted in previous years, all staff are expected to carry out their work to the best of their ability and to meet the goals set for the year. Since staff in regular academic posts are required to carry out research as part of their contracts, the normal expectation will include published research articles and papers and/or other research outputs. For staff registered for higher degrees, 'normal expectation' will also include making progress with or completing their studies as planned. Working to these standards is a cause for congratulation but is not in itself sufficient grounds for ad hominem promotion.

Consequently, in considering applications for ad hominem promotion and merit awards, the CHED Promotion and Remuneration Committee will be looking for evidence of exceptional performance. This may take a variety of forms and will vary according to individual job requirements. The CHED '*Guidelines for Ad hominem Promotion and Academic Excellence & Merit Awards*' (applicable to regular academic posts) (p. 9) and '*Guidelines for Ad hominem Promotion and SASP evaluation for staff on academic teaching conditions of service*' (p. 18), which the CHED Ad hominem Promotion and Remuneration Committee will take fully into account in its work, are attached. Applications for ad hominem promotion and merit awards must necessarily be comprehensive and provide evidence of overall performance that clearly exceeds what is normally expected of the applicant's current academic rank (see the CHED guidelines documents, including the '*Mechanisms for use with CHED rating guidelines information*' on p.15 and p.21 of this document).

Submission Instructions

Please submit as follows: email to ched2023adhom&reward@vula.uct.ac.za

by Monday, 19 June 2023, in a single PDF document, using the naming convention:

2023_CHED_ADHOM_SURNAME_APPLICATION

2023_CHED_EXCELLENCE/MERIT_SURNAME_APPLICATION

- i. a completed application form (blank form attached, p.7), including contact details for referees.
- ii. forms [HR174](#) and [HR175](#) completed by the applicant and her/his line manager.
- iii. a full academic curriculum vitae.

by Friday, 7 July 2023, in a single PDF document, the full **portfolio** (see details below) using the naming convention:

2023_CHED_ADHOM_SURNAME_PORTFOLIO

2023_CHED_EXCELLENCE/MERIT_SURNAME_PORTFOLIO

Referees:

Applications for ad hominem promotion and excellence/merit awards must include the contact details for three (3) referees. In the case of ad hominem promotion applications for full Professor, five (5) referees are required.

Please send each of your referees a copy of your CV. It is permissible to request referees to focus on aspects of your work that you wish to highlight in your application. Referee reports will be sent directly to the HR Business Partner, and shared only with members of the CHED Promotion and Reward Committee.

Guideline for choosing referees:

- Full Professor level – Strong international standing.
- Associate Professor – International standing or emerging international standing.
- Senior Lecturer – National standing.
- Lecturer – National standing.

Portfolios

Portfolios submitted to the Committee must contain the substance of and the evidence for the applicant's case for promotion.

CHED staff are expected to maintain comprehensive portfolios of their work, which can be drawn on for performance reviews as well as promotion or other applications. It is strongly recommended that applicants should be highly selective in the material they include and should provide the material in an analysed or 'digested' form that highlights the significance of their work in context and will be meaningful to the Committee members, not all of whom will be specialists in the applicant's particular area of work. The Committee will be able to obtain assistance from specialist assessors (and from the applicant's Head of Department) as required.

It is recommended that the portfolio contain, in this order:

- a table of contents, with clickable links to the different sections.
- a completed application form (p.7).
- a brief (one-page) self-evaluative statement outlining the overall role and significance of the applicant's work and the grounds for the application.
- a self-ranking and scoring against the CHED ad hominem criteria.
- a full academic CV.
- a narrative account (not more than 20 pages) of the significance of the applicant's work, and notable achievements, in the broad categories of work covered in the CHED guidelines (p. 9 onwards). Include information on collaborative work.
- for applications for promotion on regular conditions of service (and, where applicable, merit award applications), a publications table and embedded links (accessible links) in the portfolio to 3-5 pieces of (preferably recent) work that the applicant regards as best representing his/her research/scholarly output.
- forms [HR174](#) and [HR175](#).
- As appendices or links: selected documentary evidence of the applicant's contributions and achievements in the applicable categories of work, as outlined in the applicant's narrative account.

Please find the following documents for further information and guidance:

Attached below:

- Application form for ad hominem promotion or excellence and merit awards (p.7), also attached separately as a MS Word document.
- Guidelines for ad hominem promotion (p.9) and academic excellence and merit awards (p.17).

The UCT HR website provides comprehensive information about [Performance planning, performance reviews and staff development \(academic staff\)](#) and the process for [ad hominem promotion](#).

The [HR174](#) & [HR175](#) forms may be downloaded from the [UCT administrative forms](#) site.

Best wishes,



TIMETABLE FOR THE AD HOMINEM PROMOTION, EXCELLENCE & MERIT AWARDS 2023 CYCLE

	DEADLINE	ACTION	WHO
1.	Monday, 8 May 2023	Dean's notification/invitation to be circulated to CHED HODs/Directors and academic staff. To include the Ad hominem promotion, Excellence and Merit Award criteria.	Dean
2.	Webinars: Tuesday 16 May 2023 and Monday 22 May 2023	Webinars for potential applicants, CHED line managers and HODs/Directors.	Potential applicants, line managers, HODs/Directors.
3.	Monday, 5 June 2023	Applications for ad hominem promotion or excellence/merit: Academic staff and their line managers to have completed HR174 interviews (for forms HR174 and HR175 download here). Applicants to inform HOD/Director of intention to apply for Ad hominem promotion.	Applicants & line managers.
4.	Friday, 9 June 2023	HODs/Directors with staff applying for ad hom promotion to inform the Dean by this date.	HODs
5.	Mid-June	Workshop for applicants: Portfolio Curation and Framing [1.5-2 hours. Date & venue to be organised to suit participants] This will be followed by individual consultations for Portfolio Feedback	Ad hominem applicants
8.	Monday, 19 June 2023	Ad hominem promotion applicants to email to ched2023adhom&reward@vula.uct.ac.za , as a single pdf <ul style="list-style-type: none"> notification of intention to apply (application form). forms HR174 and HR175 a full academic curriculum vitae 	Ad hominem applicants
9.	Friday, 7 July 2023	Ad hominem promotion applicants to email their full portfolio to ched2023adhom&reward@vula.uct.ac.za	Ad hominem applicants
10.	Friday, 14 July 2023	Ad hominem documentation available for review by CHED Promotion and Reward Committee members via confidential Vula website	Internal Ad hominem Committee members & HRBP
11.	Friday, 4 August 2023	Internal committee (i.e., without external Deans) meets to discuss applications	Internal Ad hominem Committee members & HRBP
12.	Monday, 14 August 2023	Information (applications and aide memoire of internal committee) to be submitted electronically to the DVC and two external Deans	HRBP & Dean – aide memoire
13.	Monday, 4 September 2023	CHED Final Promotion and Reward Committee Meeting: full committee including the two DVC and external Deans.	Internal ad hominem Committee members, HRBP, DVC, external Deans
14.	To be decided	Recommendations to Vice-Chancellor / Council	Dean, HRBP
15.	To be decided	Final meeting: Central committee (Deans, VC, etc.)	Dean, HRBP
16.	To be decided	Applicants advised of outcomes	HODs/Directors
17.	To be decided	Feedback to unsuccessful applicants	Dean
18.	To be confirmed	University Promotion and Remuneration Appeal and Review process.	DVC: Transformation, HRBP

ANNEXURE

UNIVERSITY OF CAPE TOWN



CENTRE FOR HIGHER EDUCATION DEVELOPMENT (CHED)

APPLICATION FOR AD HOMINEM PROMOTION, EXCELLENCE AND MERIT AWARD FOR 2023

Information required from Prospective Applicants	
Title: Prof/Dr/Mr/Mrs/Ms/Miss/Mx	
Surname	
First Names	
Department	
Years of service at UCT (Permanent or temporary)	
Present rank/level	
Is this rank held as a result of Ad Hominem Promotion?	<div>YES</div> <div>NO</div>
If YES, please indicate date of such promotion.	
If NO, please indicate date of appointment to present post.	
Is the probation complete and has your appointment been confirmed prior to your application?	

For Ad hominem promotion, indicate the rank to which you are applying:	Application for Ad hominem Promotion to:	Tick the appropriate option:
	Senior Lecturer	
	Associate Professor	
	Professor	
For Excellence or Merit Awards, indicate for which award you would like to be considered: (*Note that one cannot apply for both Ad hominem promotion and Excellence/Merit Award.)	Application for Excellence or Merit Award:	Tick the appropriate option:
	Merit Award (Lecturer - Associate Professor level)	
	Excellence 1 (Professor level)	
	Excellence 2 (Professor level)	

List of Referees

	Referee name	Relationship	Contact number	Email address
1.				
2.				
3.				
4.				
5.				

Notes:

- Applicants must indicate their relationship with each referee and the reason for their nomination.
- For applications for promotion to full Professor, five referees are required. Other applications must include the contact details for three referees.
- In applying for promotion to Associate Professor or Professor, at least some of the referees should have international standing.
- It is the applicant's duty to inform the referee that s/he may be contacted and to ensure that a copy of the relevant documentation has been sent to the referee.
- The HR Business Partner will contact the referees for a report.

Applicant declaration:

I declare that the information submitted is accurate and is a true reflection of my work and outputs.

Signature:

Date signed:

Please email this form, together with the forms [HR174](#) and [HR175](#) and a full academic curriculum vitae, to ched2023adhom&reward@vula.uct.ac.za.

CENTRE FOR HIGHER EDUCATION DEVELOPMENT

GUIDELINES FOR AD HONOREM PROMOTION AND ACADEMIC EXCELLENCE AND MERIT AWARDS

CONTRIBUTIONS TO TEACHING AND LEARNING

SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
High achievement 8 to 10	<p>Is recognized as an <u>excellent</u> teacher who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Has an <u>excellent</u> record of supervision of postgraduate students, where appropriate.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Is recognized <u>nationally</u> as a leading teaching and learning specialist in one or more areas listed above.</p> <p>Makes a <u>major</u> contribution to educational development initiatives in one or more areas listed above.</p>	<p>Is recognized as an <u>excellent</u> teacher who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Has an <u>excellent</u> record of supervision of postgraduate students, where appropriate.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Is recognized <u>institutionally</u> as a leading teaching and learning specialist in one or more areas listed above.</p> <p>Makes a <u>significant</u> contribution to educational development initiatives in one or more areas listed above.</p>	<p>Is recognized as an <u>excellent</u> teacher who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Has an <u>excellent</u> record of supervision of postgraduate students, where appropriate.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Is recognized in the faculty and/or <u>department</u> as a teaching and learning specialist in one or more areas listed above.</p> <p>Makes an <u>important</u> contribution to educational development initiatives in one or more areas listed above.</p>	<p>Is recognized as an <u>excellent</u> teacher who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> o Student development activities, staff development activities, tutor training, curriculum development and re-structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Is recognized by colleagues as a teaching and learning specialist in one or more areas listed above.</p> <p>Makes a <u>contribution</u> to educational development initiatives in one or more areas listed above.</p>

SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
Expected performance 5 to 7	<p>Is recognized as a <u>good teacher</u> who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Has a <u>good</u> record of supervision of postgraduate students, where appropriate.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> o Student development activities, staff development activities, tutor training, curriculum development and re- structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Is recognized <u>institutionally as a leading teaching and learning specialist</u> in one or more areas listed above.</p> <p>Makes a <u>significant</u> contribution to educational development initiatives in one or more areas listed above.</p>	<p>Is recognized as a <u>good teacher</u> who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Has a <u>good</u> record of supervision of postgraduate students, where appropriate.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> o Student development activities, staff development activities, tutor training, curriculum development and re- structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Is <u>recognized in the department and/or faculty as a teaching and learning specialist</u> in one or more areas listed above.</p> <p>Makes an <u>important</u> contribution to educational development initiatives in one or more areas listed above.</p>	<p>Is recognized as a <u>good teacher</u> who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Has a <u>good</u> record of supervision of postgraduate students, where appropriate.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> o Student development activities, staff development activities, tutor training, curriculum development and re- structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Is <u>recognized by colleagues as a teaching and learning specialist</u> in one or more areas listed above.</p> <p>Makes a <u>contribution</u> to educational development initiatives in one or more areas listed above.</p>	<p>Is recognized as a <u>good teacher</u> who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> o Student development activities, staff development activities, tutor training, curriculum development and re- structuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Beginning to develop an area of specialization in teaching and learning in one or more areas listed above.</p> <p>Makes a <u>contribution</u> to educational development initiatives, <u>as required</u>, in areas such as those listed above.</p>
Under-performance 3 to 4	<p>Does <u>not have a consistent reputation</u> as a good teacher and/or supervisor.</p> <p>Makes a <u>minimal</u> contribution to educational development initiatives.</p>	<p>Does <u>not have a consistent reputation</u> as a good teacher and/or supervisor.</p> <p>Makes a <u>minimal</u> contribution to educational development initiatives.</p>	<p>Does <u>not have a consistent reputation</u> as a good teacher and/or supervisor.</p> <p>Makes a <u>minimal</u> contribution to educational development initiatives.</p>	<p>Does <u>not have a consistent reputation</u> as a good teacher.</p> <p>Makes a <u>minimal</u> contribution to educational development initiatives.</p>
Unsatisfactory performance 0 to 2	<p>Has a <u>poor</u> reputation as a teacher and/or supervisor.</p> <p>Makes <u>no</u> contribution to educational development initiatives.</p>	<p>Has a <u>poor</u> reputation as a teacher and/or supervisor.</p> <p>Makes <u>no</u> contribution to educational development initiatives.</p>	<p>Has a <u>poor</u> reputation as a teacher and/or supervisor.</p> <p>Makes <u>no</u> contribution to educational development initiatives.</p>	<p>Has a <u>poor</u> reputation as a teacher.</p> <p>Makes <u>no</u> contribution to educational development initiatives.</p>

GUIDELINES FOR AD HOMINEM PROMOTION AND ACADEMIC EXCELLENCE AND MERIT AWARDS

RESEARCH				
SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
High achievement 8 to 10	<p>Is recognized internationally as <u>one of the leading researchers/ creative artists</u> in his or her field. Is making <u>regular, major contributions</u> to scholarship of outstanding quality through, for example:</p> <ul style="list-style-type: none"> papers in high quality, peer-reviewed journals research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review keynote addresses at international research conferences invitations to present scholarship at high status institutions regular citations and reviews leadership of major research / policy / professional group receiving awards for contributions to knowledge attracting leading scholars in the field to UCT 	<p>Is recognized <u>internationally</u> as a leading researcher/creative artist in his/her field. Is making <u>regular and/or major contributions</u> to scholarship of high quality through, for example:</p> <ul style="list-style-type: none"> papers in high quality, peer-reviewed journals research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review regularly presenting papers to national and some international research conferences and seminars regular citation and review membership of major research / policy / professional group 	<p>Is recognized <u>nationally</u> and <u>beginning to be recognized internationally</u> as a leading researcher/creative artist in his/her field. Is making <u>regular and/or substantial contributions</u> to scholarship of high quality through, for example:</p> <ul style="list-style-type: none"> papers in high quality, peer-reviewed journals research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review regularly presenting papers to national and some international research conferences and seminars regular citation and review membership of research / policy / professional group 	<p>Is beginning to be recognized <u>nationally</u> as a contributor to research/creative areas in his/her field. Is making <u>regular contributions</u> to scholarship of high quality through, for example:</p> <ul style="list-style-type: none"> papers in high quality, peer-reviewed journals research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review regularly presenting papers to national and some international research conferences and seminars satisfactory progress in a major research project (e.g. PhD or monograph)
Expected performance 5 to 7	<p>Is recognized <u>internationally</u> as a leading researcher/creative artist in his/her field. Is making <u>regular and/or major contributions</u> to scholarship of high quality through, for example:</p> <ul style="list-style-type: none"> papers in high quality, peer-reviewed journals research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review regularly presenting papers to national and some international research conferences and seminars regular citation and review membership of major research / policy / professional group 	<p>Is recognized <u>nationally</u> and <u>beginning to be recognizing internationally</u> as a leading researcher/creative artist in his/her field. Is making <u>regular and/or substantial contributions</u> to scholarship of high quality through, for example:</p> <ul style="list-style-type: none"> papers in high quality, peer-reviewed journals research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review regularly presenting papers to national and some international research conferences and seminars regular citation and review 	<p>Is beginning to be recognized <u>nationally</u> as a contributor to research/creative areas in his/her field. Is making <u>regular contributions</u> to scholarship of high quality through, for example:</p> <ul style="list-style-type: none"> papers in high quality, peer-reviewed journals research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review regularly presents papers to national and some international research conferences and seminars satisfactory progress in a major research project (e.g. PhD or monograph) 	<p>Is making <u>regular contributions</u> to scholarship of high quality through, for example:</p> <ul style="list-style-type: none"> papers in peer-reviewed journals research reports, policy documents, chapters in books, professional journals, and/or conference papers subjected to an appropriate form of peer review regularly presents papers to national research conferences and seminars satisfactory progress in a major research project (e.g. PhD or monograph)

GUIDELINES FOR AD HOMINEM PROMOTION AND ACADEMIC EXCELLENCE AND MERIT AWARDS

RESEARCH				
SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
		<ul style="list-style-type: none"> membership of major research / policy / professional group 		
Under-performance 3 to 4	Has made a <u>minimal</u> contribution to knowledge production over the past 4 years. Attends <u>few</u> research conferences and seminars. Provides little leadership in research/creative work.	Has made a <u>minimal</u> contribution to knowledge production over the past 4 years. Attends <u>few</u> research conferences and seminars. Provides little leadership in research/creative work.	Has produced <u>minimal</u> research/creative work over past 4 years. Attends <u>few</u> research conferences and seminars. Minimal input to any research/creative work group.	Has produced <u>minimal</u> research/creative work over past 4 years. Attends <u>few</u> research conferences and seminars. Minimal input to any research/creative work group.
	Unsatisfactory performance 0 to 2 Is <u>not actively involved</u> in research or the production of creative work. Attends few or no research conferences and seminars	Is <u>not actively involved</u> in research or the production of creative work. Attends few or no research conferences and seminars	Is <u>not actively involved</u> in research or the production of creative work. Attends few or no research conferences and seminars	Is <u>not actively involved</u> in research or the production of creative work. Attends few or no research conferences and seminars

GUIDELINES FOR AD HOMINEM PROMOTION AND ACADEMIC EXCELLENCE AND MERIT AWARDS

LEADERSHIP, MANAGEMENT AND ADMINISTRATION

SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
High achievement 8 to 10	<p>Plays a <u>major</u> leadership role in teaching and learning activities at departmental, faculty, university or national level.</p> <p>Makes a <u>major</u> contribution, as required, to management and administration at departmental, faculty or institutional level, including the mentoring of staff.</p>	<p>Plays a <u>significant</u> leadership role in teaching and learning activities at departmental, faculty or university level.</p> <p>Makes a <u>significant</u> contribution, as required, to management and administration at departmental, faculty or institutional level, including the mentoring of staff.</p>	<p>Plays a leadership role in teaching and learning activities at departmental, faculty or university level.</p> <p>Makes an <u>important</u> contribution, as required, to management and administration at departmental, faculty or institutional level.</p>	<p>Makes some contribution to leadership in educational development at departmental, faculty or institutional level.</p> <p>Actively participates in departmental and faculty administration, as required; takes responsibility for course convening and administration as required.</p>
Expected performance 5 to 7	<p>Plays a <u>significant</u> leadership role in teaching and learning activities at departmental, faculty or university level.</p> <p>Makes a significant contribution, as required, to management and administration at departmental, faculty or institutional level, including the mentoring of staff.</p>	<p>Plays a leadership role in teaching and learning activities at departmental, faculty or university level.</p> <p>Makes an important contribution, as required, to management and administration at departmental, faculty or institutional level.</p>	<p>Makes some contribution to leadership in educational development at departmental, faculty or institutional level.</p> <p>Actively participates in departmental and faculty administration, as required; takes responsibility for course convening and administration as required.</p>	<p>Makes a constructive contribution to departmental administration and takes responsibility for routine course/ programme/ event administration as required.</p>
Under-performance 3 to 4	<p>Plays <u>minimal</u> role in the leadership of teaching and learning activities at departmental or faculty or university level.</p> <p><u>Ineffective</u> contribution to management at departmental, faculty or institutional level.</p>	<p>Plays <u>minimal</u> role in the leadership of teaching and learning activities at departmental or faculty or university level.</p> <p><u>Ineffective</u> contribution to management at departmental, faculty or institutional level.</p>	<p>Plays <u>minimal</u> role in departmental and faculty administration.</p> <p>Reluctant to contribute to the general work of the department or faculty.</p>	<p>Plays <u>minimal</u> or poor role in departmental administration.</p> <p>Reluctant to contribute to the general work of the department or faculty.</p>
Unsatisfactory performance 0 to 2	<p>Plays <u>no</u> leadership role in teaching and learning activities at a departmental or faculty or university level.</p> <p><u>No</u> contribution to management at departmental, faculty or institutional level.</p>	<p>Plays <u>no</u> leadership role in teaching and learning activities at a departmental or faculty or university level.</p> <p><u>No</u> contribution to management at departmental, faculty or institutional level.</p>	<p>Plays <u>no</u> role in departmental and faculty administration.</p> <p><u>No</u> contribution to the general work of the department or faculty.</p>	<p>Plays <u>no</u> role in departmental administration.</p> <p><u>No</u> contribution to the general work of the department or faculty.</p>

GUIDELINES FOR AD HONOREM PROMOTION AND ACADEMIC EXCELLENCE AND MERIT AWARDS

SOCIAL RESPONSIVENESS AND PROFESSIONAL ACTIVITIES

SCORE RANGE	PROFESSOR	ASSOCIATE PROFESSOR	SENIOR LECTURER	LECTURER
High achievement 8 to 10	<p>Is recognized outside the University as a leading figure in his or her field of expertise and for contributions to the wider society.</p> <p>Frequently consulted as a specialist advisor by both local and international external organisations.</p> <p>Has very strong and well-developed professional interactions with constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.</p> <p>Influential in decision making and policy making by community organisations, government, or private sector.</p>	<p>Has a significant national and/or international professional status.</p> <p>Has an excellent reputation regionally and nationally as a leading advisor and expert.</p> <p>Plays a leadership role in workshops and seminars for constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.</p>	<p>Has a national professional status.</p> <p>Has a reputation in the wider community as an advisor and expert in his or her field of work.</p> <p>Plays a leadership role in interactions with constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.</p>	<p>Makes a regular contribution as an advisor or expert in his or her field of work.</p> <p>Interacts regularly with professional organizations, government agencies or NGOs.</p>
Expected performance 5 to 7	<p>Has a significant national and/or international professional status.</p> <p>Has an excellent reputation regionally and nationally as a leading advisor and expert in his or her field of work.</p> <p>Plays a leadership role in professional interactions with constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.</p>	<p>Has a national professional status.</p> <p>Has a reputation in the wider community as an advisor and expert in his or her field of work.</p> <p>Plays a leadership role in professional interactions with constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.</p>	<p>Makes a regular contribution as an advisor or expert in his or her field of work.</p> <p>Interacts regularly with professional organizations, government agencies or NGOs.</p>	<p>Is approached occasionally to contribute as an advisor or expert in his or her field of work.</p> <p>Interacts with professional organizations, government agencies or NGOs.</p>
Under-performance 3 to 4	<p>Minimal interaction in extension work or professional activities.</p>	<p>Minimal interaction with external agencies, usually only as part of a team.</p>	<p>Minimal interaction with external agencies, usually only as part of a team.</p>	<p>Minimal interaction with external agencies, usually only as part of a team.</p>
Unsatisfactory performance 0 to 2	<p>No involvement in extension or professional activities.</p>	<p>No involvement in extension or professional activities.</p>	<p>No involvement in extension or professional activities.</p>	<p>No involvement in extension or professional activities.</p>

Mechanisms (for use with CHED rating guidelines for staff in regular academic posts)

An overall assessment will be generated in one of the two ways described below.

1. by adding - to the scores (1-10) for teaching and for research - the best one of the scores for leadership/administration and social responsiveness, and dividing the total by three. Candidates for promotion will be eligible for consideration if they have:
 - a. a sub-minimum score for teaching/learning of 7
 - b. a sub-minimum score for research of 6 for associate professor and a 7 for professor.
 - c. an average rating is 8.0 or higher (decimal points of 0.5 or more will not be rounded up).

Examples for associate professorship:

Example	Teaching/ Learning	Research	LMA or SR/PA	Total	Average (÷3)
Applicant A	9	6	9	24	8
Applicant B	8	6	10	24	8
Applicant C	7	8	9	24	8

Examples for professorship:

Example	Teaching/ Learning	Research	LMA or SR/PA	Total	Average (÷3)
Applicant A	8	7	9	24	8
Applicant B	9	7	8	24	8
Applicant C	8	8	8	24	8

2. by adding the scores of all four categories together and dividing the total by four. Candidates for promotion will be eligible for consideration if they have:
 - d. a sub-minimum score for teaching of 7

e. a sub-minimum score for research of 6 for associate professor and a 7 for professor.

f. an average rating is 7.25 or higher (decimal points of 0.5 or more will not be rounded up).

Essentially, the only candidates who might find it advantageous to go for the four divided by 4 scenarios are those who are extensively involved in social responsiveness and professional activities as well as the more customary other three categories.

For associate professorship:

	Teaching/ Learning	Research	LMA	SR/PA	Total	Average (÷4)
Applicant A	8	6	7	8	29	7.25
Applicant B	7	8	6	8	29	7.25
Applicant C	7	8	5	9	29	7.25

For professorship:

	Teaching/ Learning	Research	LMA	SR/PA	Total	Average (÷4)
Applicant A	8	7	6	8	29	7.25
Applicant B	7	8	6	8	29	7.25
Applicant C	7	8	5	9	29	7.25

CENTRE FOR HIGHER EDUCATION DEVELOPMENT ACADEMIC MERIT AND EXCELLENCE AWARDS

A system of merit awards has been introduced at the ranks of Lecturer, Senior Lecturer and Associate Professor. **The purpose of these awards is to reward meritorious achievement in one or more of the categories in which staff are assessed.** Decisions on merit awards will form part of the brief of faculty promotion and remuneration committees and will be based on faculty ad hominem promotion criteria. At the rank of professor, the current two-tier system of excellence awards continues. The lower tier would reward excellent performance, while the upper tier would recognise truly outstanding performance.

Further details of the merit awards and excellence payments

1. A proposed guideline for the quantum for merit awards is a rand value derived as a percentage of the standard SASP package, to be determined annually. The award will be made for a period of two years, with effect from the year following that in which the assessment is made. Merit awards will be paid as a lump sum annually, and will be non-pensionable. The awards apply at the current rank of the staff member and fall away on promotion to a higher rank.
2. It is envisaged that a steady state of about 10% of academic staff receive the merit award. In order to facilitate this, a fixed budget (part of the overall budget associated with academic salaries) will be allocated to faculties on a proportional basis and application for merit awards will be competitive.
3. The faculty has the discretion to award different numbers of merit awards at the different academic ranks (i.e. the percentage of academic staff in receipt of merit awards in one rank may be higher or lower than that in another rank) but the allocated faculty budget for merit awards may not be exceeded.
4. In the introduction of excellence payments in 2004 it was envisaged that about 5% of Professorial staff would be eligible for and receive payments for excellence. This number has fluctuated over the years but has not risen above 5%. It is proposed that a steady state of 3-5% be the target. Excellence awards are paid monthly and are pensionable, and would usually be applied for four years.
5. **Faculties are responsible for developing faculty specific criteria for deciding on merit awards (applicable to ranks of lecturer, senior lecturer or associate professor) and payments for excellence (applicable to rank of professor). The criteria are to be based on the faculty ad hominem promotion criteria. To be considered for an excellence award (professors), excellent performance must be demonstrated in at least two performance categories, of which one must be either Teaching & Learning or Research. To be considered for a merit award, lecturers, senior lecturers and associate professors must demonstrate outstanding performance in at least one performance category. If only one category, this must be either Teaching & Learning or Research.**

Process of nomination and application

In order to assist heads of department in making decisions with potentially far-reaching consequences for remuneration, and to ensure fairness and transparency, there are three routes for the consideration of merit awards:

Route 1: the cycle of performance reviews may result in the head of department nominating a staff member for a merit award. These nominations will be considered by the relevant Faculty Promotion and Remuneration Committee.

Route 2: the staff member makes an application for a merit award with or without the support of the head of department. These applications will be considered by the relevant Faculty Promotion and Remuneration Committee.

Route 3: The Faculty Promotion and Remuneration Committee may make recommendations for a merit award in cases where an individual is considered to have demonstrated excellent performance but still falls short of promotion. The rhetoric of a "failed promotion" should be actively countered with the notion of meritorious achievement.

The DVC accountable for academic matters holds final authority for the approval of excellence awards and merit awards and payments for excellence. There is no appeal process, but if there is a breakdown in the process of application and assessment, the case will be addressed on an individual basis.

CHED SPECIFIC GUIDELINES FOR EXCELLENCE AND MERIT AWARDS:

Aligned with 5. Above, CHED's specific guidelines are:

- **Excellence awards (professors):** To be considered for an excellence award, an applicant must demonstrate excellent performance (at the level of 8 or above) in at least two performance categories of which one must be either Teaching & Learning or Research.
- **Merit awards (lecturer, senior lecturer or associate professor):** To be considered for a merit award, an applicant must demonstrate outstanding performance (at the level of 8 or above) in at least one performance category: either Teaching & Learning or Research.

Applicants for excellence and merit awards will be required to follow the same procedure and to compile and submit evidence in the form of a portfolio following the same guidelines and timelines as apply to applications for ad hominem promotion

CENTRE FOR HIGHER EDUCATION DEVELOPMENT

GUIDELINES FOR AD HONOREM PROMOTION AND SASP EVALUATION FOR STAFF ON ACADEMIC TEACHING CONDITIONS OF SERVICE

To be read in conjunction with the UCT policy on academic teaching posts, particularly in relation to expected workload

CONTRIBUTIONS TO TEACHING AND LEARNING		
SCORE RANGE	SENIOR LECTURER	LECTURER
High achievement 8 to 10	<p>Is recognized as an <u>excellent</u> teacher who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Has an <u>excellent</u> record of supervision of postgraduate students, where appropriate.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> Student development activities, staff development activities, tutor training, curriculum development and restructuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Is <u>recognized</u> in the faculty and/or department as a teaching and learning specialist in one or more areas listed above.</p> <p>Makes an <u>important</u> contribution to educational development initiatives in one or more areas listed above.</p>	<p>Is recognized as an <u>excellent</u> teacher who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> Student development activities, staff development activities, tutor training, curriculum development and restructuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Is <u>recognized by colleagues</u> as a teaching and learning specialist in one or more areas listed above.</p> <p>Makes a <u>contribution</u> to educational development initiatives in one or more areas listed above.</p>
Expected performance 5 to 7	<p>Is recognized as a <u>good</u> teacher who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Has a <u>good</u> record of supervision of postgraduate students, where appropriate.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> Student development activities, staff development activities, tutor training, curriculum development and restructuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Is <u>recognized by colleagues</u> as a teaching and learning specialist in one or more areas listed above.</p>	<p>Is recognized as a <u>good</u> teacher who develops effective courses, teaching approaches and assessment practices that are responsive to the needs of students.</p> <p>Besides formal teaching and supervision, a range of educational development responsibilities will be recognized as contributions:</p> <ul style="list-style-type: none"> Student development activities, staff development activities, tutor training, curriculum development and restructuring, technology design and development, test design, selection and placement activities, language development, textbook publications and other learning materials, assessment development, policy design and implementation, monitoring and evaluation. <p>Beginning to develop an area of specialization in teaching and learning in one or more areas listed above.</p>

	Makes a <u>contribution</u> to educational development initiatives in one or more areas listed above.	Makes a <u>contribution</u> to educational development initiatives , <u>as required</u> , in areas such as those listed above.
Under-performance 3 to 4	Does <u>not</u> have a <u>consistent reputation</u> as a good teacher and/or supervisor . Makes a <u>minimal</u> contribution to educational development initiatives.	Does <u>not</u> have a <u>consistent reputation</u> as a good teacher . Makes a <u>minimal</u> contribution to educational development initiatives.
Unsatisfactory performance 0 to 2	Has a <u>poor</u> reputation as a teacher and/or supervisor . Makes <u>no</u> contribution to educational development initiatives.	Has a <u>poor</u> reputation as a teacher . Makes <u>no</u> contribution to educational development initiatives.

LEADERSHIP, MANAGEMENT AND ADMINISTRATION		
SCORE RANGE	SENIOR LECTURER	LECTURER
High achievement 8 to 10	Plays a leadership role in teaching and learning activities at departmental, faculty or university level. Makes an <u>important</u> contribution, as required, to management and administration at departmental, faculty or institutional level.	Makes some contribution to leadership in educational development at departmental, faculty or institutional level. Actively participates in departmental and faculty administration , as required; takes responsibility for course convening and administration as required
Expected performance 5 to 7	Makes some contribution to leadership in educational development at departmental, faculty or institutional level. Actively participates in departmental and faculty administration , as required; takes responsibility for course convening and administration as required.	Makes a constructive contribution to departmental administration and takes responsibility for routine course/ programme/ event administration as required.
Under-performance 3 to 4	Plays <u>minimal</u> role in departmental and faculty administration. Reluctant to contribute to the general work of the department or faculty.	Plays <u>minimal</u> or poor role in departmental administration. Reluctant to contribute to the general work of the department or faculty.
Unsatisfactory performance 0 to 2	Plays <u>no</u> role in departmental and faculty administration. <u>No</u> contribution to the general work of the department or faculty.	Plays <u>no</u> role in departmental and faculty administration. <u>No</u> contribution to the general work of the department or faculty.

GUIDELINES FOR AD HOMINEM PROMOTION AND SASP EVALUATION FOR STAFF ON ACADEMIC TEACHING CONDITIONS OF SERVICE

SOCIAL RESPONSIVENESS AND PROFESSIONAL ACTIVITIES		
SCORE RANGE	SENIOR LECTURER	LECTURER
High achievement 8 to 10	Has a national professional status. Has a reputation in the wider community as an advisor and expert in his or her field of work. Plays a leadership role in interactions with constituencies beyond the University, e.g. professional organisations, government agencies or NGOs.	Makes a regular contribution as an advisor or expert in his or her field of work. Interacts regularly with professional organizations, government agencies or NGOs.
Expected performance 5 to 7	Makes a regular contribution as an advisor or expert in his or her field of work. Interacts regularly with professional organizations, government agencies or NGOs.	Is approached occasionally to contribute as an advisor or expert in his or her field of work. Interacts with professional organizations, government agencies or NGOs.
Under-performance 3 to 4	Minimal interaction with external agencies, usually only as part of a team.	Minimal interaction with external agencies, usually only as part of a team.
Unsatisfactory performance 0 to 2	No involvement in extension or professional activities.	No involvement in extension or professional activities.

CHED mechanism to assess eligibility for promotion (see HR175) for staff on academic teaching conditions of service.

An overall assessment of eligibility for **consideration** for promotion can be performed in one of two ways:

- a) Add the scores of all three categories together and divide the total by three.
- b) Add the scores of the Contributions to Teaching and Learning category and one other and divide by two.

Candidates for promotion will be considered eligible for consideration if their average rating is 8 or higher. Note, however, that **8 is the minimum allowable score for the Contribution to Teaching & Learning category**.

Assessment of eligibility for consideration for a **merit award** will normally be made by mechanism (b).

	Teaching/ Learning	Lead, Man & Admin.	Soc Resp	Total	Average (÷3)
Applicant A	10	6	8	24	8
Applicant 2	9	7	8	24	8
Applicant 3	8	8	8	24	8

	Teaching/ Learning	Lead, Man & Admin.	Soc Resp	Total	Average (÷2)
Applicant 1	10	6		16	8
Applicant 2	8		8	16	8
Applicant 3	9		7	16	8

