

**UNIVERSITY OF CAPE TOWN
FACULTY OF HUMANITIES
FACULTY PROMOTION AND REMUNERATION COMMITTEE
PROCEDURES AND GUIDELINES 2023**

PROCEDURES AND GUIDELINES FOR

- **PROMOTION**
- **MERIT AWARDS**
- **EXCELLENCE AWARDS**
- **BIANNUAL STAFF PERFORMANCE APPRAISAL**

A. PROCEDURES AND GUIDELINES FOR APPLICATION FOR AD HOM PROMOTION

All applicants for promotion are advised to approach their Head of Department and/or Dean before submitting their applications, for advice on whether the application is appropriate. The Dean and/or up to three advisors selected from amongst members of the Faculty Promotion and Remuneration Committee will consider the curriculum vitae of the potential applicant and advise on whether the requirements for promotion are likely to be met. Such advice is not a guarantee of either the success or failure of an application, as neither the Head of Department nor the Dean have access to referees' reports, the research and teaching portfolio, the Head of Department's input at the time of providing advice, nor do they have the input of the full Committee. The request for advice, and the advice given, will be treated in strict confidence. Such advice is intended to caution applicants against premature applications which so often lead to disappointment. Regardless of the advice of the Head of Department/Dean and his/her advisors, any member of staff who qualifies to do so may submit his/her application to the Committee for full consideration.

PREAMBLE

A case for promotion will be assessed under the four headings: teaching, research, public and professional service, leadership and administration. This document spells out the Faculty of Humanities' understanding of what is involved in these four dimensions of scholarly activity, as well as the procedures and mechanisms which the Faculty will use in assessing the application of academic staff members for promotion.

THE FACULTY PROMOTION AND REMUNERATION COMMITTEE

The purpose of this Committee is to give effect to, and make decisions arising from, the policy on performance management at UCT, including the promotion of staff in the Faculty.

The Committee consists of the Dean (Chair), a Deputy Vice-Chancellor nominated by the Vice-Chancellor, two Deans from other faculties (nominated by the Vice-Chancellor), and other members as determined by the Faculty Board. The core membership of the committee, with full voting rights, comprises the Dean (Chair) and ten members of academic staff drawn from all ranks from Lecturer to full Professor, provided that the majority of the membership are full Professors. At least two Deputy Deans are nominated by the Dean as ex-officio members. The remaining 10 members are drawn from the Faculty Board membership with five nominated by the Faculty Board and five nominated by the Dean. The Committee is constituted for four years with half the nominated membership retiring every two years.

The terms of reference of the Committee require that it receive applications and nominations for promotion and proposals for academic staff to be rated above and below SASP. It is required to consider these, recommend to the Vice-Chancellor the promotion of a staff member, and recommend awards of above and below SASP to the DVC responsible for academic matters for approval by the meeting of the Deans.

Recommendations for promotion require a two-thirds majority vote in support. In addition, such a recommendation requires two-thirds majority support from the three external members – the Deputy Vice Chancellor and the two other Deans.

It is important to note that the proceedings of the committee are strictly confidential and any breach of confidentiality may jeopardize the legitimacy of the entire process. Any member found to have breached confidentiality may therefore be required to step down from committee membership.

ASSESSMENT

The Committee will evaluate the full research and teaching profile of the candidate and their overall or cumulative trajectory to date to support ongoing recognition where a candidate has taken time out from active research to pursue other roles (e.g. academic leadership).

Teaching

The Faculty will take note, *inter alia*, of the following when assessing a staff member's teaching activities:

- innovative thinking, research and developments in the field reflected in courses taught;
- innovative teaching methods (for example, learner-centred, collaborative, participatory, in-service methods using multiple platforms) where appropriate;
- the quality of pedagogical approaches and an explicit teaching and learning philosophy;
- being nominated for, or receiving, a Distinguished Teacher's Award and other teaching awards;
- the publication of teaching material;
- involvement in innovative curriculum and programme design and in the development of new course materials for team teaching;
- involvement in innovative approaches to postgraduate supervision.
- successful undergraduate and postgraduate teaching
- the number and range of research projects supervised at senior undergraduate, honours, and masters levels;
- evidence of successful completion of supervision of masters dissertations and/or doctoral theses;
- invitations to act as external examiner at both undergraduate and postgraduate level;
- evaluations of undergraduate and postgraduate teaching activities provided by students, by departmental colleagues and by other reviewers such as external examiners;

Research (including creative activity)

The Faculty will take note, *inter alia*, of the following when assessing the research activities of staff members:

- the extent and quality of research outputs in the form of chapters in books, research monographs and articles in research journals (including Open Access journals), recordings, DVDs and presentations of original repertoire material, books (**only books and articles etc. published at the time of application may be considered for the purposes of the application**);
- citation by other scholars and other forms of impact (i.e. positive social impact);
- applied research reports and policy documents for public bodies, companies and civil society agencies;
- contributions to research seminars and conferences;
- research funding obtained from UCT and non-UCT sources;
- travel and other awards obtained from UCT and non-UCT sources;
- descriptions of performance and creative work, exhibitions and productions, including independent reviews, awards and other critical appraisals;
- where appropriate, professional and private work based on the staff member's academic skills and which contributes to scholarship in the Humanities (Details of professional and private work will only be taken into account if the applicant shows that the Dean's approval has been granted for this work to be carried out).

Applicants who manage large research grants or established research centres that require a substantial amount of project management including the line management of staff, financial management and administration should list these activities under the category of Leadership and Administration.

Academics applying for the rank of Full Professor in the creative and performing arts should have an international reputation as a researcher in the field/ producer of creative work and can provide evidence of regular citation and review, or invitation to exhibit, curate, direct, compose or perform. May be a leader of a major research group/ creative work group, and/or the driver of a well-received, documented, creative project.¹

- **In Fine Arts** such a project may typically be a major local or international solo exhibition with catalogue, attracting international recognition, displayed for example by review in academic and/or professional journals; and/or commentary by international peers in the exhibition catalogue.
- **In Music** such a project entails:
For *Musicology* - comparable to research outputs in other departments in the Faculty.

¹ Creative projects may mean design, composition, curation, choreography, direction, performance, group and/or solo exhibitions, novels, collections of poems or short stories.

For *Performance* (including conducting): Usually will have developed a specialised repertoire which has gained national and international recognition (demonstrated through international performances and/ or collaboration with international artists, and/ or publication/ recordings).

For *Direction*: original presentations of existing and new productions (e.g. operas) which are nationally and internationally recognised (demonstrated for example through prestigious invitations to stage productions).

For *Composition*: Prestigious national and international commissions, performances by distinguished performers, recordings of original work, including some international exposure.

- **In Drama**, such creative projects may typically entail: a corpus of original presentations of existing and/ or new productions; and/ or a record of significant applied theatre projects and interventions; and/ or original embodied processes in the domain of performance, such as, but not limited to, voice or movement/ dance, which have attracted national and international recognition and have received international reviews or serious consideration in academic publications. Contribution by the applicant may typically be as director, performer, designer, playwright, dramaturge, choreographer or applied theatre/ process facilitator or combinations of the above.
- **In Dance**, such creative outputs may typically be: For Choreography: a collection of original choreographed performances which have attracted local and international recognition For Performance: national and international recognition through invitations to perform; For Direction: invitations to direct nationally and internationally with prestigious companies.
- **In Creative Writing**, such creative outputs may typically entail: a significant body of work that has attracted national and international recognition, and has received international reviews, and serious literary appraisal.

Academics applying for the rank of Associate Professor in the creative and performing arts should have produced significant creative outputs.

- **In Fine Arts**, such outputs include solo exhibitions with catalogue.
- **In Music:**
 - For *Musicology*: comparable to research outputs in other departments in the Faculty; For Performance: emerging specialised repertoire with national and some international recognition;
 - For *Direction*: original presentations of existing and new productions (e.g. operas) which are locally and nationally recognised, with emerging international recognition;
 - For *Composition*: prestigious national commissions, local and national performances by distinguished performers.
- **In Drama**, such creative projects may typically entail: a corpus of original presentations of existing and/ or new productions; and/ or a record of significant applied theatre projects and interventions; and/ or original embodied processes in the domain of performance, such as, but not limited to, voice or movement/ dance, which have attracted local and national recognition and some emerging international recognition. Contribution by the applicant may typically be as director, performer, designer, playwright, dramaturge, choreographer or applied theatre/ process facilitator or combinations of the above.
- **In Dance**, such creative outputs may typically be: For Choreography: a collection of original choreographed performances which have attracted local and national and emerging international recognition through reviews; For Performance: national recognition through invitations to perform; For Direction: invitations to direct with prestigious companies.
- **In Creative Writing**, such creative outputs may typically include: a published novel or novella available from a good imprint, stories, literary essays, poems and serious literary reviewing.

Applicants in the above performing and creative arts disciplines should submit a commentary of 500-700 words which briefly contextualises or elucidates the body of work as a creative research output. This commentary must set out the following:

- The overview of the output: a brief outline of the background information relevant to the output
- The conceptual and scholarly framework in which it should be heard or viewed
- Locate the output within the discipline and demonstrate the contribution to new knowledge.

While chapters in an edited collection count as distinct research outputs, the act of editing a collection will normally fall into the public and professional service category.

In the case of multiple authorship of books, chapters and papers, applicants are strongly advised to present to the Committee a statement of their contribution to the joint work, and select reviewers who are able to comment on the extent and nature of the applicant's contribution.

Leadership and administration

The period considered will be from the date that the last rank was achieved - by promotion, previous employment or appointment at UCT. The Faculty will take note of the following when assessing the leadership qualities of staff members. The Faculty will assess applicants' successes in, *inter alia*:

- successfully fulfilling leadership and administrative functions, in particular as a Deputy Dean or Head of Department, but also as a convenor of programmes, orientation activities and curriculum advice to students; and establishing and directing research projects groups and teams;
- providing intellectual leadership within departments and the Faculty, which includes, but is not limited to: stimulating debate and discussion that leads to new intellectual and/or creative productivity; proposing new research and teaching initiatives; providing guidance to colleagues that enables them to develop their capacities – including mentoring junior staff; and generally contributing to a collegial and intellectually creative culture in the department (and where appropriate, the Faculty); participation in training courses on teaching/learning relevant to the enhanced functioning of departments, and seeing such enhancements through to realisation in the form of new curricula, new teaching practice requirements, etc;
- organisation of academic conferences, colloquia, exhibitions, productions and workshops that (a) attract recognised intellectual leaders in one's field; (b) enhance colleagues' intellectual and/or creative productivity; and/or (c) result in published edited collections (whether edited books or special numbers of recognised journals);
- serving on, and/or leading, departmental, faculty and university committees - particularly those involving complex and time-consuming responsibilities.

Public and Professional Service

The period considered will be from the last rank achieved - by promotion, previous employment or appointment at UCT. This category encompasses two forms of public service – service to the community, which draws upon scholarly expertise (engaged scholarship); and service to the profession or discipline, such as acting as an office bearer of an academic association, editing conference proceedings, reviewing journals, etc. The Faculty will take note of the following, *inter alia*, when assessing the contributions of staff members to this category:

Public Service and Social Responsiveness

- making demonstrable contribution to outside bodies, movements, groups or communities that is based on academic skills, as described for example in UCT's Social Responsiveness policy.
- communicating and diffusing the results of academic expertise and research through the public media;
- according service to Civil Society, including demonstrated participation in committees and councils, as well as contributions to policy forums;
- demonstrated organisation of conferences and colloquia aimed at engaging specific off-campus general public audiences and/or that serve public needs;
- running arts-based workshops or projects aimed at engaging specific off-campus communities and the public; organising events for purposes of public education or entertainment;
- demonstrated provision of scholarship-based advice to government agencies, parliamentary commissions and the like;
- being asked to give, and giving, public lectures or participating in public (including continuous) education.

Professional service

- demonstrated active service as an office-bearer in, and active membership of, a professional society;
- demonstrated active service as an editor of professional and research journals, including electronic journals;
- demonstrated active service as a reviewer (whether or not as a member of an editorial board) of submissions to professional and research journals, including electronic journals;
- demonstrated active service as editor of a book series or collections of articles/chapters, including published conference proceedings;
- demonstrated active service on national committees and agencies (for example, the NRF) concerned with tertiary education and research.

A combined subminimum of 11 in the two above categories (Leadership and Administration and Public and Professional Service) is required for promotion to Professor. The higher score of these two categories is used to calculate the 24 minimum point score overall for promotion, along with the scores for Teaching and Research.

PROCEDURES

The Faculty Promotion and Remuneration Committee will consider permanent academic staff members in the Faculty for the purpose of promotion.

Research Officers whose posts are funded from external sources such as the NRF are not normally considered through the processes detailed in this Procedures and Guidelines document because most are employed on contract conditions of service. The costs of promotion of permanent research staff must be borne by grant holders, who should include such costs in their grant applications. Grant holders who wish to promote Research Officers funded by external funds may use the Faculty Promotion and Remuneration Committee as an appropriate means of assessing eligibility, but this should be done in consultation with the Dean.

See also Addendum – Additional Criteria for Research Track Promotions.

Application/nomination

Members of the permanent academic staff in the Faculty may:

- put themselves forward as candidates to be considered for promotion;
- be nominated by a Head of Department, Dean or Deputy Dean;
- be nominated by at least two members of the academic staff of the same or higher grade to which promotion is sought.

Members of staff who have applied unsuccessfully may not, except with permission of the Committee, apply again for promotion for two years from the time of the initial application. Where permission is granted a new application is required. However, in order to avoid repeated requests to referees, a candidate may elect to use referees' reports from the previous promotion application where the report is not more than 24 months old, and this should be indicated in the application.

The Committee will normally not consider an application for promotion by a candidate who has been in his/her current academic rank for less than two years. An exceptional case will have to be made to the Dean by the applicant's Head of Department, at least one week in advance of the closing date for applications in order for this rule to be waived.

Consultations

A sub-group of the committee from cognate disciplines to that of the candidate may consult a candidate if clarification on an application is required. The sub-group will provide a detailed report to the full committee on the outcomes of these engagements. An applicant's Head of Department may not be a member of the sub-group.

The Committee may consult expert readers where clarification is required about the quality and impact of research outputs. Applicants will be informed that such advice is to be sought and will be given the opportunity to indicate who in their field should not be approached (as is the practice in the NRF rating system.)

The Committee, in consultation with the candidate, may exercise its discretion to consult the Head of Department or a senior academic in the same discipline, or a disciplinary expert, of any candidate to be appraised. If for example the HOD is not supportive of the candidacy, the candidate may nominate someone else in the discipline to speak to the candidate's application and the committee may exercise its discretion to seek input from alternative sources in consultation with the candidate.

Heads of Department applying for promotion may propose a senior professor in their department, or a cognate department, to be consulted about their application.

Documentation

The appraisal will be based on:

- a full CV of the staff member, noting the exact date of last promotion or appointment in a covering letter;
- a 500-700 words statement on teaching and learning that includes evidence of a teaching philosophy, pedagogical approach, and innovation; copies of teaching materials and evaluations (e.g. course outlines and assessment tasks);

- a 500-700 description and statement of the applicant's research contribution OR on creative research outputs for performing and creative arts applicants (as detailed on page 3). The applicant is asked to highlight their top 3 pieces of work;
- three referees' reports;
- in the case of application for promotion to full Professor, **five (5) referees' reports**; (Referees should be chosen who, taken together, can reflect on the quality and impact of research output in the applicant's discipline or field, on teaching, on leadership and administration; and on public service. At senior levels international recognition of scholarship is a prerequisite and it would be advantageous to select experts in an applicant's field who can comment on the nature and impact of research, and its international standing. Applicants should not list as a referee a member of the committee)
- HR174 and 175 forms, which should be completed in full by the Head of Department;
- an independent referee's report if the Committee deems this appropriate and necessary;
- supporting materials (books, videos, articles, catalogues, reviews, commentary, citations, etc).

For details of the format in which to submit documentation, see the guidelines that accompany the call for applications.

Mechanisms for assessment and relevant rulings

The teaching, research, public and professional service and leadership and administration activities of staff members will be assessed on a 10-point scale associated with their present rank, within the ranges set out on the attached tables, entitled **Guidelines for Academic Staff Promotion**.

Candidates for promotion will be considered eligible if their rating totals 24 or more out of 30. This score will be calculated by adding to the scores for Teaching, Research, and the best score for either Public and Professional Service and Leadership and Administration. Applicants may demonstrate engaged scholarship in their teaching and research portfolios. 'Eligible' means that the case will be discussed in full committee where other considerations, other than a mechanical score, will be taken into account.

To be considered eligible for promotion to the rank of Associate Professor or Professor, the candidate must score a minimum of 8 for research.

In the case of a Professor, it is stipulated in University procedures that recommendations to the Vice-Chancellor on promotions must contain the Committee's assessment that it is satisfied as to the international standing of the candidate's scholarship.

Senate Executive has ruled that promotion between the annual rounds should be followed only in *bona fide* cases where there is documentary evidence of an offer of employment from another institution, and where there is not time to delay the process until the next annual round. The responsible Deputy Vice-Chancellor, as well as the two outside Deans, should be involved in making the decision that such a between-rounds process should take place, and the nomination should be considered (as far as possible) by the same Committee as is used for the most recent full round in the Faculty concerned.

Senate Executive has agreed that a person in the final year of probation can be considered for promotion, subject to the promotion only being effective once the appointment has been confirmed. (Should a staff member on probation be clearly performing exceptionally well, at any point the Head of Department may make a case for early confirmation of appointment. This must have the support of the Dean and the Deputy Vice-Chancellor responsible for Human Resources. The proposal must be based on achievements in teaching, research, leadership and public service at UCT after the appointment of the person concerned.)

Outcomes and appeal procedures

The Faculty Promotion and Remuneration Committee must arrange for feedback to be given to successful and unsuccessful candidates and the relevant Heads of Department. An unsuccessful candidate should be given reasons for why his/her application was not successful. The Committee's appraisal, including scores, will be disclosed to a staff member who has failed to secure a promotion with a view to providing information that would benefit her or him in developing the next application for promotion. This does not constitute a right of appeal. The decision is final and decisions cannot be reopened. However, an applicant may request a review of the process if she/he believes that there may have been a significant degree of unfairness in the procedure or that the outcome was unreasonable in terms of Faculty criteria. The request for the review must be submitted to the responsible DVC for academic matters, via the Dean, within 14 days of the notification of the promotion outcome. The process of review is available from the Dean's Office on request.

B. PROCEDURES AND GUIDELINES FOR APPLICATION FOR EXCELLENCE AWARDS

Payment for academic excellence

Academic staff holding the rank of **Professor** may apply or be nominated for payment for academic excellence. Such an award is generally made for a four year period after which a renewed application / nomination must occur. In exceptional cases, the award may be for a lesser period.

1. Assessment of excellent performance

Performance will be assessed relative to both the approved SASP criteria and the Faculty-specific guidelines for the recognition of merit.

To be awarded payment for academic excellence the individual staff member must, over a significant period of time (normally a period of at least three years), consistently demonstrate outstanding and socially responsive performance (in the range 8-10) in Research and Teaching & Learning, and one of Public and Professional Service as well as Leadership and Administration.

2. Approval of excellence payments

All applications and nominations for excellence payments must be considered by the Faculty Promotion and Remuneration Committee, and recommendations made for final approval by the Committee of Deans, chaired by a Deputy Vice Chancellor. Life time merit awards taken as salary will be taken into account when the awards are made.

The appraisal will be based upon:

1. a motivation from the applicant or nominee stipulating clearly the basis upon which the application for remuneration for excellence is made
2. completed forms HR174 and HR175
3. curriculum vitae
4. teaching portfolio
5. research portfolio
6. summary of recent course evaluations or student testimonies (countersigned by HOD).

C. PROCEDURES AND GUIDELINES FOR APPLICATIONS FOR MERIT AWARDS

Criteria for Merit Awards:

Excellent performance (score of 8-10) must be demonstrated in one performance category, which must be either Teaching and Learning or Research, and the total score must generally be 21-22 points.

Process for applications:

- a) The call for applications for merit awards is made at the same time as the call for applications for promotion, with the same deadlines.
- b) Applications are assessed by the Faculty Promotions and Remuneration Committee, which makes the final recommendations on merit awards.

The merit award is generally made for a two year period after which a renewed application / nomination must occur.

D. STANDARD PERFORMANCE CRITERIA

For the purposes of the SASP criteria, staff in any rank will under normal circumstances be deemed to be performing satisfactorily if they score in the range of 5-7 for Teaching, 5-7 for Research, and 5-7 in one of the other categories, giving a total score of 15 or more.

Staff who achieve a total score in the range 6-14 will be deemed to be performing unsatisfactorily.

Staff who score less than 6 overall will be deemed to be performing poorly.

VARIATIONS TO STANDARD PERFORMANCE CRITERIA

Heads of Department may negotiate with individual staff members, in consultation with the Dean, to vary the minima for teaching and research in order to meet temporary departmental operational requirements. In these cases staff will be deemed to be performing satisfactorily if they achieve an overall score of 15 or more, made up of a score for Teaching of at least 6, which is doubled, plus the score for Research and one of either Leadership and Administration or Public Service. The same method of scoring will be used for part-time permanent staff employed on teaching-only contracts. Part-time permanent staff applying for promotion are strongly encouraged to submit a memorandum of understanding between themselves and the Head of Department which indicates clearly the duties that have been agreed for the appointment.

E. ADDITIONAL GENERAL GUIDELINES FOR PROMOTION

1. Examples of indicators of excellence and impact that might be considered (non-exhaustive):
 - Reviews – press; serious periodicals; peer-reviewed academic journals
 - Prizes and Awards
 - Invitations to perform/exhibit/present/broadcast at particular venues and/or on particular platforms
 - Evaluation of peers performing/presenting/exhibiting/broadcasting at the same venues and/or on the same platforms
 - Influence and scholarly and social impact of online exhibitions and publications (altmetrics)
 - Innovation and/or utility of software and digital works
 - Creation of new audiences
 - Post-publication responses to open access publishing.
2. Intellectual leadership could include, but is not limited to:
 - the ability to attract and develop postgraduate students and to open up new research areas;
 - editing a series;
 - being a public intellectual where this is not considered to be public service.

F. ADDITIONAL GUIDELINES CRITERIA FOR RESEARCH TRACK PROMOTIONS

1. Ranks and promotions in the research track will be distinguished from those in the standard academic track. In parallel with other faculties, the Faculty of Humanities will use four levels: Research Officer (RO), Senior Research Officer (SRO), Chief Research Officer (CRO), Principal Research Officer (PRO) (these are equivalent in remuneration to the academic ranks of Lecturer, Senior Lecturer, Associate Professor and Professor).
2. If an individual is promoted within the research track and subsequently reverts to the academic track, there is no automatic guarantee that the research track rank will be retained. This means that the non-equivalence of the two systems is acknowledged.
3. The sub-minimum of 8 for research will apply to all promotions on the research-track.

For promotion to SRO the standard grid provides the framework for the evaluation of research, leadership and administration and public service; for teaching the evaluation will place central emphasis on 'active and good postgraduate research supervisor'. For promotion to CRO and PRO the standard grid provides the framework for the evaluation of research. In doing this evaluation, the committee will take into account the greater proportion of time devoted to research by a research-track appointee and thus expects a significantly higher level of research output. For teaching, the evaluation will place central emphasis on 'in demand as masters and doctoral supervisor, with an excellent track record as supervisor'. In leadership and administration, instead of the usual phrase 'provides intellectual leadership ...' more demanding criteria such as 'has set up and supported research teams, has attracted significant funding, or has opened up research areas, taken initiatives and played a significant role in the development of research in departments at faculty and university levels'. For public service the standard grid will be employed.

G. ADDITIONAL GUIDELINES CRITERIA FOR TEACHING-ONLY/TEACHING-RICH TRACK PROMOTIONS

1. In line with current University policy promotion beyond senior lecturer is not provided for in the case of staff who are on teaching-only contracts or who have been recognised at teaching-rich through the RFJ process.
2. If an individual is promoted within the teaching-only/rich track and subsequently moves to the academic track, there is no automatic guarantee that the teaching-only/rich track rank will be retained. This means that the non-equivalence of the two systems is acknowledged.
3. A sub-minimum of 8 for teaching will apply to all promotions on the teaching-only/rich track.

For promotion to Senior lecturer the attached table, entitled **Guidelines for Academic Staff Promotion** provides the overall framework for the evaluation of research, leadership and administration and public service; for teaching the evaluation will place central emphasis on the scale and the excellence of the contribution to teaching. In doing this evaluation, the committee will take into account the greater proportion of time devoted to teaching by a teaching only/rich appointee and will thus expect a significantly higher teaching load and qualitatively superior and innovative teaching. For research, the evaluation will place central emphasis on any research output the appointee may have produced or any contribution to a research team.² For public service the standard criteria will be employed. In leadership and administration, the evaluation will focus on excellence as a course/programme-based administrator and any broader contribution to departmental and faculty administration.

Applicants will be scored on teaching and learning plus two other categories.

H. ADDITIONAL GUIDELINES FOR PERFORMING AND CREATIVE ARTS DISCIPLINES PROMOTIONS

In cases where applications for promotion include, under the category of Research, artistic/creative works, or software or media productions, that constitute either part of the submission or the entire submission:

1. Assessment of the quality of publications and exhibitions should be technology-neutral and on a case-by-case basis e.g. the promotions committee should not assume that digital publication or multimedia is inherently inferior to print.
2. Similarly, individual authorship should not be assumed to be superior to collaborative work. Rather the applicant's particular contribution, leadership role and ability to foster a collaborative production should be assessed on a case-by-case basis.

² For some staff applying under this heading research will not be part of their contractual obligations and cannot be a compulsory category of assessment.

GUIDELINES FOR ACADEMIC STAFF PERFORMANCE APPRAISAL AND PROMOTION 2023

RANK: PROFESSOR (EXCELLENCE AWARDS)

SCORE RANGE	RESEARCH	TEACHING	LEADERSHIP AND ADMINISTRATION	PUBLIC SERVICE
A ³ Exceptional 8 to 10	One of the leading researchers or creative producers internationally in his or her field.	Excellent teacher and innovative curriculum designer. Receives outstanding student and external examiner feedback. Contributes significantly to undergraduate and postgraduate teaching and supervision.	Is an outstanding leader, at departmental, faculty and/or university level. May have served more than once as a head of department, dean or deputy dean.. Provides intellectual leadership within department/faculty/university and mentors junior staff.	Excellent reputation nationally and internationally as an authority in the field. Contributions to learned/professional bodies and/or policy formation. An engaged scholar who has driven off-campus activities, for example in parliament, government agencies, or civil society.
B Good to fair 5 to 7	Has established an international reputation as researcher in field/ producer of creative work. Is producing on a regular basis research and creative outputs of quality. Is a leading member of a research group or network / creative work group or network.	Plays a leadership role in the development of teaching and curricula. Student evaluations, external and collegial reviews are consistently very good. Has a track record as an excellent supervisor	Plays a major role in leadership and administration of the department of Faculty or University. Has been a good, effective leader and administrator.	Consistent and respected contribution as specialist adviser and expert, internationally, nationally and regionally, in academic and/or community projects. Sought after as reviewer and editor of collections.
C Moderate to poor 0 to 4	Few recognised research and/or creative outputs of quality over past 4 years. Attends few research conferences and seminars. Is not invited to perform at an international level, or is not represented by creative outputs at international events. No international recordings exhibitions/performances.	Limited postgraduate research supervisor and undergraduate teacher. Average student, peer and external examiner reports.	Plays minimal role in departmental or Faculty or University administration. Reluctant to serve on faculty structures.	Few professionals or public service activities.

³ For feedback/reporting to candidates the committee will use A, B and C categories.

RANK: ASSOCIATE PROFESSOR (TO PROFESSOR)

SCORE RANGE	RESEARCH	TEACHING	LEADERSHIP AND ADMINISTRATION	PUBLIC SERVICE
<p>A</p> <p>Exceptional</p> <p>8 to 10</p>	<p>Is producing research and/or creative outputs of high quality. Has established an international reputation as a researcher in field/producer of creative work and can provide evidence of regular citation and review, or invitation to exhibit, compose or perform. May be a leader of major research group/creative work group, and or driver of a well-received and documented creative project.</p>	<p>Plays a leadership role in the development of undergraduate and postgraduate teaching and curricula. Student evaluations, external and collegial reviews are excellent. Has a track record as an excellent supervisor. Active involvement in tutor training where appropriate. Acts regularly as external examiner at undergraduate and postgraduate levels where appropriate.</p>	<p>Plays a major role in leadership and administration of the department of Faculty, in particular serving as a Head of Department or Deputy Dean.</p>	<p>Consistent and respected contribution as leading specialist advisor and expert, internationally, nationally and regionally, in academic and/or community projects. Sought after as reviewer and editor of collections. An engaged scholar who has participated in off-campus activities, for example in parliament, government agencies, or civil society</p>
<p>B</p> <p>Good to fair</p> <p>5 to 7</p>	<p>Has a national and an emerging international reputation in his or her field. Is producing regularly research/creative outputs of high quality. Regular contributions, at national and international levels, in the field of creative work or performance.</p>	<p>Plays a major role in undergraduate and postgraduate teaching and supervision. Student, collegial and external evaluations consistently very good. Active in curriculum development and design. Where appropriate research interests reflected in teaching and in research supervision. Active and good postgraduate research supervisor.</p>	<p>Plays a substantial and effective role in departmental or Faculty or University leadership, management and administration.</p>	<p>Respected advisor and expert and productive contributor to the field. An engaged scholar who has participated in off-campus activities, for example in parliament, government agencies, or civil society</p>
<p>C</p> <p>Moderate to poor</p> <p>0 to 4</p>	<p>Is not considered to be active researcher/producer of creative work. Has produced few recognised research/creative outputs of quality over past 4 years. Attends few research or creative work conferences and seminars and is rarely represented at performances or creative events.</p>	<p>Limited postgraduate research supervisor and undergraduate teacher. Average student, peer and external examiner reports.</p>	<p>Plays minimal role in departmental or Faculty or University administration. Reluctant to serve faculty.</p>	<p>Few professional or public service activities.</p>

RANK: SENIOR LECTURER (TO ASSOCIATE PROFESSOR)

SCORE RANGE	RESEARCH	TEACHING	LEADERSHIP AND ADMINISTRATION	PUBLIC SERVICE
A Exceptional 8 to 10	Has produced a significant corpus of work and has established a national and emerging international reputation as a recognised researcher in the field/producer of creative work. Produces impactful research (such as a monograph, journal articles, book chapters and conference presentations) or creative outputs of quality on regular basis.	Plays major role in undergraduate and postgraduate teaching and supervision. Student, collegial and external evaluations excellent. Active in curriculum development and design.. Active and good postgraduate research supervisor.	Plays a substantial and effective role in leadership, management and administration of the department Faculty or University.	Significant contribution as an advisor and expert and productive contributor to the field. An engaged scholar who has participated in off-campus activities.
B Good to fair 5 to 7	Sustained production of recognised research/creative/performance outputs. Presents research papers regularly to research conferences and seminars. Participates in and has input at creative events. Is developing a national reputation in field.	Contributes in major ways to both undergraduate and postgraduate teaching. Student, collegial and external evaluations good. Where appropriate research interests reflected in teaching and in research supervision. Active and good postgraduate research supervisor. Active in curriculum development and design.	Active convenor/co-coordinator of major departmental or faculty function, including serving as EE rep or curriculum advisor. Good, efficient administrator.	Establishing a reputation in the wider community as a productive contributor to the field. (For example, actively involved with professional society or in initiating public service,) organising conferences and colloquia).
C Moderate to poor 0 to 4	Is not considered to be active researcher/ producer of creative work. Has produced few recognised research/ creative outputs of quality over past 4 years. Attends few research or creative work conferences and seminars and is rarely represented at performances or creative events.	Limited postgraduate research supervisor and undergraduate teacher. Average student, peer and external examiner reports.	Plays minimal role in departmental administration. Reluctant to serve on faculty structures as for example EE rep or curriculum advisor.	Minimal involvement in public service activities or with work of professional society.

RANK: LECTURER (TO SENIOR LECTURER)

SCORE RANGE	RESEARCH	TEACHING	LEADERSHIP AND ADMINISTRATION	PUBLIC SERVICE
A Exceptional 8 to 10	Emerging national reputation as researcher in field. Has produced important research articles and/or reports or has produced a significant creative project or participated in significant curated or group exhibitions, or significant performances. Is producing regularly research/creative outputs of quality.	Contributes in major ways to both undergraduate and postgraduate teaching. Student, collegial and external evaluations consistently good. Where appropriate research interests reflected in teaching and in research supervision. Active and good postgraduate research supervisor. Active in curriculum development and design.	Active convenor/co-coordinator of major departmental or faculty function, including serving as EE rep or curriculum advisor. Good, efficient administrator.	Establishing a reputation in the wider community as an authority and productive contributor to the field. (For example, actively involved with professional society or in initiating public service, organising conferences and colloquia, reviewing of journal articles).
B Good to fair 5 to 7	Is producing recognised research outputs in form of journal articles, research reports, conference papers and/or creative and performing projects.	Contributes fully to undergraduate teaching programme. Student, collegial and external evaluations consistently good. Research interests reflected in teaching. Where opportunity has been given, active postgraduate research supervisor.	Plays satisfactory role in departmental administration, good, effective administrator. Willing to serve on faculty structures, for example as EE rep or curriculum advisor.	Active involvement in public service activities and/or work of a professional society.
C Moderate to poor 0 to 4	Is not considered to be active researcher/ producer of creative work. Has produced few recognised research/ creative outputs of quality over past 4 years. Attends few research or creative work conferences and seminars and is rarely represented at performances or creative events.	Limited postgraduate research supervisor and undergraduate teacher. Average student, peer and external examiner reports.	Plays minimal role in departmental administration. Reluctant to serve on faculty structures as for example EE rep or curriculum advisor.	Minimal involvement in public service activities or with work of professional society.