

May 2017

# ACADEMIC STAFF PROMOTIONS 2017

**PROFESSOR & ASSOCIATE PROFESSOR**

**THIS PROMOTION  
PROCESS IS  
DESIGNED TO  
RECOGNISE  
AND REWARD  
OUTSTANDING  
ACADEMIC  
ACHIEVEMENT  
AND LEADERSHIP.**

# CONTENTS

<b>1. Introduction</b>	<b>1</b>
<b>2. General Information</b>	<b>2</b>
2.1 Consultation before applying is encouraged	2
2.2 Role of Head of Department/Institute/School	2
2.3 Role of Pro Vice-Chancellor	2
2.4 Timetable	2
2.5 Current Salary Schedule	2
2.6 Effective date of promotion	2
<b>3. Eligibility</b>	<b>3</b>
3.1 Staff on continuing employment agreements	3
3.2 Staff on fixed-term appointments	3
3.3 Applicants for Professor who are below Associate Professor rank	3
<b>4. Submitting the Application</b>	<b>4</b>
4.1 Application to be in specified format	4
4.2 Closing date for submitting application	4
4.3 Testimonials not to be solicited	4
4.4 Late application will not be accepted	4
4.5 Complete applications	4
4.6 Referee reports	4
4.7 Ensure applications are complete in every respect	5
4.8 Subsequent information cannot be accepted	5
<b>5. Preparing the Application for Promotion to Associate Professor</b>	<b>6</b>
5.1 General Information	6
5.2 Criteria and Evidence Specific to Teaching	6
5.3 Criteria and Evidence Specific to Research/Scholarship	7
5.4 Criteria and Evidence Specific to Service	8
<b>6. Preparing the Application for Promotion to Professor</b>	<b>11</b>
6.1 General Information	11
6.2 Evidence of Sustained Outstanding Leadership and Excellence in Research and Research Training	12
6.3 Evidence of Sustained Outstanding Leadership and Excellence in Teaching, Assessment and Curriculum Development	13
6.4 Criteria and Evidence of Sustained Outstanding Leadership and Excellence in Service	13

<b>7. Decision-making Procedures .....</b>	<b>15</b>
7.1 Decisions made by University Academic Promotions Committee .....	15
7.2 Decisions based on application, referee reports and HoD and PVC statements .....	15
7.3 Decisions to be conveyed in writing .....	15
7.4 Unsuccessful applicants invited to meet with Pro Vice-Chancellor .....	15
7.5 Publishing names of successful applicants .....	15
<b>8. Review Procedures .....</b>	<b>16</b>
8.1 Review requests to be on procedural grounds only .....	16
8.2 Notice of the opportunity for a review .....	16
8.3 Closing date for review requests .....	16
8.4 Consideration by University Promotions Procedures Review Committee .....	16
8.5 Decisions notified in writing .....	16
<b>9. Privacy &amp; Confidentiality .....</b>	<b>17</b>
9.1 Confidentiality of information provided by applicants .....	17
9.2 Confidentiality of committee discussions .....	17
9.3 Access to copies of HoD statement and Independent Observer report .....	17
9.4 Evaluative material not available .....	17
9.5 Destruction of information .....	17
<b>Appendices .....</b>	<b>18</b>
1. 2017 Timetable .....	19
2. Summary of Responsibilities .....	20
3. Terms of Reference of University Academic Promotions Committee .....	21
4. Terms of Reference of University Promotions Procedures Review Committee .....	23

# 1. INTRODUCTION

**This booklet applies to applications for promotion to either Associate Professor or to Professor. This promotion process is designed to recognise and reward outstanding academic achievement and leadership that is widely and internationally acclaimed.**

Promotion is defined as movement to the Associate Professor or Professor Grade and salary range.

Academic staff wishing to seek promotion to levels below these ranks should refer to the academic promotions round guideline titled "Academic Staff Promotions 2017 – Levels 1 & 2"

## 2. GENERAL INFORMATION

**2.1** The decision to apply is for the staff member to make. Nevertheless prospective applicants are encouraged to consult with their Head of Department/Institute/School or a senior colleague on the appropriateness of the timing of the application and the level of promotion being requested. Only one application for any level of promotion can be made in a year.

**2.2** All applicants are advised that each Head of Institute/School (or equivalent) will:

- (a) receive all applications;
- (b) supply a statement which addresses the applicant's merits against the general promotion criteria selected by the applicant;
- (c) advise the applicant in general terms of the statement they intend forwarding to the Pro Vice-Chancellor;
- (d) upload and submit their statements via the online system which will then send to the PVC for their comment.

*Notes:*

- (i) *Where an applicant reports directly to the Pro Vice-Chancellor s/he should discuss with the PVC the possibility of nominating an appropriate senior academic colleague who can be invited to provide a written statement on the applicant's contribution to teaching and service.*

- (ii) *Where there has been a relatively recent change in reporting line an applicant may request their Hol/S (or equiv) to seek additional comments from the former Hol/S (or equivalent) for integration into the statement.*

**2.3** All applicants are advised that each Pro Vice-Chancellor will:

- (a) supply a statement concerning each applicant (Pro Vice-Chancellors may seek advice from other senior staff in formulating their comments);
- (b) upload and submit their statements via the online system; and
- (c) forward the application to the University Academic Promotions Committee. The Vice-Chancellor is the chair of the committee.

**2.4** The proposed timetable for the 2017 Associate Professor and Professor Promotion Round is set out in Appendix 1. *Please note that while every effort will be made to follow the timeline, a legitimate need may arise to vary it. If this occurs, all reasonable effort will be made to advise applicants accordingly.*

**2.5** For salary scale information, refer to the MU Collective/Individual Employment Agreement, or email People & Organisational Development at [Academic.Promotions@massey.ac.nz](mailto:Academic.Promotions@massey.ac.nz)

**2.6** The effective date of promotion is normally the 1st of January following the Promotion Round.

# 3. ELIGIBILITY

- 3.1** Permanent Academic Staff are eligible to apply except that applicants for promotion to Professor should have achieved a senior academic rank, normally at Associate Professor.
- 3.2** Staff whose appointments are fixed-term agreements are **not** eligible to apply for promotion through this Round.
- 3.3** Staff below Associate Professor level considering applying for promotion to Professor are strongly advised to discuss their intentions with their Pro Vice-Chancellor or Assistant Vice-Chancellor prior to submitting their application.

# 4. SUBMITTING THE APPLICATION

- 4.1 Applications must be made through the online system.
- 4.2 Applications must be submitted by **21 July**.
- 4.3 Testimonials solicited from students, staff or colleagues are not to be included with promotion applications, except where specifically allowed under Section 5.2.
- 4.4 The online system will not accept any late applications.
- 4.5 Applicants are to ensure that their case is submitted complete in every respect and should include all the evidence they wish to be considered. Applications are considered on the basis of the information provided at the time of submission, (i.e. no later than) and subsequent information cannot be accepted. Applications must include all mandatory sections of the application. Incomplete applications cannot be submitted.
- 4.6 **Referee Reports**
  - (a) Applicants for promotion to **Associate Professor** must provide the names, addresses, and E-mail addresses of **four (4)** referees of international standing in the discipline from whom confidential references on the applicant's suitability for promotion will be sought. Applicants may be asked to provide other referees if a minimum of two referees do not provide reports on request.
  - (b) Applicants for promotion to **Professor** must provide the names, addresses, and E-mail addresses of **five (5)** referees of international standing in the discipline from whom confidential references on the applicant's suitability for promotion will be sought. Applicants may be asked to provide other referees if a minimum of three referees do not provide reports on request.
  - (c) Applicants need to choose referees carefully. Referees should not, except in exceptional circumstances, be close colleagues, co-authors, collaborators, former research supervisors, or relatives of the candidate.
  - (d) Applicants must also provide a brief background on their chosen referees including reference to their status and expertise in the applicant's field of work and why they have been chosen in relation to the promotion application submitted.
  - (e) Applications will be made available to Referees.
  - (f) Applicants should ensure that all details for their referees are correct and up-to-date (e.g. email address, place of work).
  - (g) Referees' reports will be requested through the online system.

- (h) In the event that referees cannot provide their report by the due date, they will not be included in the application (**i.e. will not be added at a later date or tabled**). It is important to ensure that your referees are able to provide a report. The lack of referee reports can impact on your application. If you are thinking about applying start to contact referees to ensure they will be available to provide a reference.

**4.7** Applicants are to ensure that their case is submitted complete in every respect and includes all the evidence they wish to be considered. The evidence provided needs to be appropriate to the outputs and the discipline and clearly support the excellence, originality, significance and impact of the applicant's best work.

**4.8** Applications are considered on the basis of the information provided at the time of submission and subsequent information **cannot be accepted**.

# 5. PREPARING THE APPLICATION FOR PROMOTION TO ASSOCIATE PROFESSOR

## 5.1 General Information

**5.1.1** There are three fields of contribution that are considered in assessments for promotion. Each is evaluated to the extent that is consistent with the context in which staff members work and their conditions of employment.

The three fields are:

- (a) teaching;
- (b) research and scholarship;
- (c) service.

**5.1.2** In accordance with the emphasis given within the Education Amendment Act S162(4)(a), teaching and research will be given primary importance in assessing the merit of an application. Service will be recognised as a very important contributing factor to applications.

**5.1.3** Consideration for promotion involves two steps. First, the Committee involved must be satisfied that the applicant has reached and sustained a level of performance consistent with his or her current position in both teaching and research.

Second, the applicant must demonstrate “**sustained distinction**” in teaching and research.

**5.1.4** An application for promotion based on any one field would be enhanced by the quality of the applicant’s performance in the other fields.

**5.1.5** An application for promotion at this level will be considered a “**whole of career**” decision and evidence will be assessed accordingly.

**5.1.6** Applicants are advised to pay specific attention to “**translating**” their field for an audience that will be from very diverse and often distant disciplines.

**5.1.7** Applications will undergo an initial review by the respective College Academic Promotions Committee for the purpose of making a preliminary decision on promotion within Level 1 or Level 2. This is based on the University Promotions Committee’s ability, in exceptional cases, to recommend that an unsuccessful application for promotion to Associate Professor, but one which is considered to be particularly meritorious, be submitted to the relevant College Promotions Committee for further consideration. The initial review of the College Committee will not be provided to the University Committee and may only be relied upon if the recommendation is made to have the application considered by the relevant College Committee.

## 5.2 Criteria and Evidence Specific to Teaching

### 5.2.1 Criteria

Good teaching enhances student development in the directions specified for particular programmes. Criteria for promotion will allow for different teaching philosophies and contexts.

Indicators of teaching effectiveness include:

- (a) the utilisation of current research-based knowledge;
- (b) planning and teaching strategies that present knowledge clearly and engage, challenge and stimulate students to become independent learners;
- (c) evaluation of one's own teaching activities;
- (d) effective communication with students;
- (e) appropriate assessment procedures;
- (f) evidence of self-evaluation and continuing professional development;
- (g) recognition of teaching quality by peers and students;
- (h) Teaching Portfolio (Refer Centre for Teaching & Learning for assistance);
- (i) effective education and teaching of post-graduate students.

### 5.2.2 Evidence

Applicants (except those in research-only positions) should present evidence of teaching effectiveness, which includes both quantitative and qualitative data from a variety of sources. This should include:

- (a) quantitative data on teaching loads, including data on paper numbers, contact hours, on-campus courses, student numbers, supervision loads; number of successful postgraduate student completions;
- (b) a brief outline and justification of the applicant's approach to teaching;
- (c) examples of paper design (including learning outcomes, curriculum outline/s and teaching and assessment strategies) highlighting aspects that reflect the applicant's approach to teaching;
- (d) an overview of student feedback e.g. MOST course or teacher evaluations, SECAT, etc, including (where appropriate) feedback from the applicant's research students, all with summary comments from the applicant;

- (e) a description of steps taken by the applicant to further develop her/his teaching effectiveness;
- (f) details of prizes awarded for teaching or other forms of recognition of excellence;
- (g) evidence of incorporation of relevant recent research into paper content;
- (h) any other evidence demonstrating teaching effectiveness and commitment.

## 5.3 Criteria and Evidence Specific to Research/Scholarship

### 5.3.1 Criteria

Contributions in this field may occur through achievements in research, scholarship, artistic activity and/or professional activity. They should add to the established body of knowledge and in so doing extend the discipline.

The work should be creative, involving work that peers regard as original in its conceptualisation of the subject, and/or the techniques used and/or applications. Research productivity should be sustained over a number of years with evidence of continued productivity up to the time of the promotion application.

In addition to contributions arising from scholarship and research (outputs classified as 'Research' in the Academic Outputs Database), and/or the equivalent in terms of artistic or professional activity (outputs classified as 'Professional/Community') applicants will be assessed on the following aspects:

- (a) a sustained programme of research/scholarship of national/international significance in the discipline;
- (b) results of research/scholarship published in sources highly respected within the discipline;
- (c) a leadership role in research/scholarship in the field within the University;
- (d) research/scholarship meeting international standards in the discipline for this level.

### 5.3.2 Evidence

In assessing the **extent of contribution** to research, items such as the following will be taken into account:

- (a) research projects completed or currently engaged in, for instance a PhD, and the extent of the applicant's personal contribution to such research;
  - (b) publications arising from research/scholarship and the extent of responsibility for these;
  - (c) role in research teams;
  - (d) attainment of research-based qualifications;
  - (e) extent of advisory role on research to graduate students and colleagues;
  - (f) extent of successful completions of supervision of graduate students;
  - (g) work as consultant, editor, reviewer or assessor of research activities;
  - (h) performances/recordings/productions/exhibitions arising from creative work in an artistic field relevant to individual's academic appointment;
  - (i) plans, reports, designs, patents, software arising from activity in a professional field relevant to the individual's academic appointment;
  - (j) presentations at scholarly meetings and conferences.
- (e) nature of editorial role in scholarly publications;
  - (f) recognition of research and scholarship through grants, awards, scholarships, fellowships, etc;
  - (g) invitations to address scholarly meetings and conferences;
  - (h) demonstrated efforts to improve research performance, including relevant professional development activities;
  - (i) success in competitive peer review grant applications;
  - (j) demonstrated performance as advisor to graduate student researchers;
  - (k) the impact of research/professional activity upon life in New Zealand (including that of Māori and/or Pacific Island communities), or elsewhere;
  - (l) recognition of excellence through awards, prizes and honours;
  - (m) level of citations of one's publications in internationally recognised Citation Indices (eg. Social Sciences Citation Index, Science Citation Index, Arts & Humanities Citation Index).

In assessing the **quality** of research, evidence such as the following will be taken into account:

- (a) critical reviews of the applicant's published work/artistic activity;
- (b) the standing of publishers and journals in which publications appear;
- (c) the standing of publishers/producers/performers/curators/institutions presenting the artistic work;
- (d) publications in refereed journals and acceptance rates of such journals (publications in non-refereed journals will be taken into account, but will not carry the same weight);

### 5.4 Criteria and Evidence Specific to Service

The 'Service' category incorporates an applicant's contributions to the:

- (a) University (Department/Institute/School/College);
- (b) Discipline/Profession (in some cases including clinical/applied fields);
- (c) Industry and the wider community.

The contributions made will not necessarily be in relation to all of the sub-categories, however, applicants will be expected, inter alia, to provide evidence that they have contributed to the professional development of academic colleagues (e.g. mentoring, coaching, etc).

#### **5.4.1 Contributions to the University and its Organisational Structures**

Service to the University includes the contribution made by the applicant to the work of their Department/ Institute/School, the College, the Campus, and the University as a whole. It includes involvement in administrative tasks and functions, including committee work.

##### **i) Evidence for assessing contributions to Department/Institute/School**

Service for these will be assessed predominantly by the extent and quality of such activities as:

- (a) administrative duties;
- (b) programme co-ordination;
- (c) paper co-ordination;
- (d) course advising and student support;
- (e) participation in staff recruitment and selection;
- (f) contributions to the University's EEO/ EEdO obligations;
- (g) committee membership, participation and leadership;
- (h) contributions to strategic planning and reporting;
- (i) contributions to policy development;
- (j) contributions to the University's Treaty of Waitangi obligations;
- (k) assistance in the resolution of interpersonal issues;
- (l) contribution to colleagues' professional development (e.g. mentoring, PDP, etc.);
- (m) engagement in departmental quality assurance activities.

##### **ii) Evidence for assessing contributions to College and/or University**

As in relation to Department/Institute/School, service in these contexts will be assessed predominantly by the extent and quality of such activities as:

- (a) administrative duties;
- (b) participation in staff recruitment and selection;
- (c) committee membership, participation and leadership;
- (d) contributions to strategic planning;
- (e) contributions to policy development;
- (f) contributions to the University's EEO/ EEdO obligations;
- (g) contributions to the University's Treaty of Waitangi obligations;
- (h) assistance with the resolution of interpersonal issues;
- (i) contribution to campus/University professional development activities;
- (j) engagement in campus/University quality assurance activities;
- (k) acceptance of office(s) or significant position(s);
- (l) representation on external bodies;
- (m) applying professional or scholarly competence in other activities relevant to academic responsibilities;
- (n) contributions to the implementation of established policies (such as ethics, or occupational health and safety);
- (o) contributions to University/College policy and operations through union activities.

#### **5.4.2 Contributions to a Discipline/Profession**

Service here includes the contribution made by the applicant to the work of a discipline/profession. It includes involvement in professional activities, administrative tasks and functions, committee work, and leadership in academic functions, artistic, professional or clinical/applied areas.

##### **i) Evidence for assessing contributions to a discipline/profession**

Service to a discipline/profession will be assessed predominantly by the extent and quality of such activities as:

- (a) developing/maintaining professional expertise through fieldwork practice;
- (b) offices held in professional societies/ associations;
- (c) serving as reviewer/referee or editing for professional or scholarly journal;
- (d) organisation of conferences, seminars, exhibitions, concerts;
- (e) recognition of activities through awards/ prizes and honours.

### **5.4.3 Contributions to the Community**

Service to the community includes contributions made to groups, organisations and public information contexts.

#### **i) Evidence for assessing contributions to the community**

Service to the Community will be assessed predominantly by the extent and quality of such activities as:

- (a) contributions of professional expertise to public information;
- (b) contributions of research and scholarship to community life in New Zealand;
- (c) development of community initiatives;
- (d) contributions to the University's role as 'critic and conscience of society' (within field of expertise);
- (e) contributions to community organisations relevant to one's discipline and/or field of expertise (e.g. Iwi Organisations, Boards of Trustees, etc.);
- (f) contributions to the understanding of Māori experience, Maatauranga Māori (Māori forms of knowledge) and race relations;
- (g) Recognition of activities through awards, prizes and honours.

# 6. PREPARING THE APPLICATION FOR PROMOTION TO PROFESSOR

## 6.1 General Information

There are two ways in which professorial status may be attained at Massey University:

### 6.1.1 Discipline or Industry appointment

A professorial position may be filled when a vacancy arises or when funding is allocated. Normally the candidate applies to an advertised position and the appointment is made by a committee that is established for the purpose; it is chaired by the Vice-Chancellor or nominee and normally includes an external specialist in the field. Candidates for these positions are interviewed. The term of appointment and other employment conditions will be determined by the requirements of the specific position being filled.

### 6.1.2 Promotion to Professor

Professorial status may be applied for during the annual Promotion Round in accordance with the published timeline. The selection committee is chaired by the Vice-Chancellor (or his delegate) and includes a professorial representative from each College (see Appendix 4).

In making an application for promotion to Professor, the candidate shall select one of the following criteria against which they wish to have their application considered:

## General Criteria for Promotion to Professor

EITHER

- (a) demonstrate outstanding performance and leadership in research and research training, as evidenced by intellectual or creative advances (including creative works or performances) that are exemplary, acting as a primary reference point in their field, and by the sustained performance of this work beyond the last promotion at Massey University or time of appointment at Massey;

OR

- (b) demonstrate high performance and leadership in research and research training, as evidenced by intellectual or creative advances (including creative works or performances) that are exemplary in their field, COMBINED with outstanding leadership in teaching (including assessment and curriculum development) and/or service (both to the University and the external community). Leadership performance in all areas should be sustained beyond the last promotion at Massey University or time of appointment at Massey.

*(Note: The Committee may, in exceptional cases, exercise discretion and recognise especially meritorious performance and achievement over a relatively short period as an alternative to sustained performance under either of the above criteria.)*

**6.1.3** Applications will only be considered under the general promotion criteria (refer section 6.1.2 (a) and 6.1.2 (b)) that the applicant has selected when making their application through the online system. Applicants are advised to discuss with their Head of Institute/School (or equivalent) which promotion criteria they should choose for their application but the ultimate decision is the responsibility of the applicant.

**6.1.4** An applicant who attains the rank of Professor through this promotion pathway will be able to state their area of expertise to be included as part of their title. All applicants must consult with their Pro Vice-Chancellor who will approve the designation, e.g. Professor of Mechanical Engineering.

**6.1.5** If your application is unsuccessful the University Academic Promotion Committee will not consider a lesser promotion or progression.

## **6.2 Evidence of Sustained Outstanding Leadership and Excellence in Research and Research Training**

**6.2.6** The assessment of sustained leadership and excellence in research will require evidence of exceptional ability and creativity appropriate to the field. In assessing evidence of these performance attributes, the Committee will consider the candidate's claims against some or all of the following (candidates may add further examples as appropriate):

- (a) evidence of international recognition for outstanding contributions in basic and/or strategic and/or applied research;
- (b) original designs, such as the production of prototypes, or creative work (including performance) in art, literature and music;
- (c) publication of books and articles in journals and through publishing houses of high national/international standing, and citations of these in the research literature;
- (d) publication of reports commissioned by government agencies and international organisations;
- (e) evidence of outstanding achievement arising from research grants;

(f) commissioned work and outcomes of the work; involvement in the solution of practical problems experienced by industry, government and/or the professional/research community;

(g) academic awards or distinctions, including honorary degrees and prizes;

(h) international reputation for the significant contributions of one's research findings to the discipline or profession;

(i) originality in applied work, such as development of new techniques or improvement of established techniques, which have been accepted in the research or professional community;

(j) successful application for patents and licenses based on original research;

(k) professional peer recognition of significant competence in contributions to the work of a profession at an international level;

(l) invitations to visit at a senior level in other tertiary institutions or government agencies as the consequence of research success;

(m) invitations to undertake professional advisory work, deliver public lectures or give keynote addresses;

(n) invitations to advise on professional practice, perform and/or consult on a national and international level.

**6.2.7** In assessing leadership and excellence in relation to research training and the research environment, the Committee will consider the candidate's claims against some or all of the following (candidates may add further examples as appropriate):

(a) sustained attraction and successful supervision of research students;

(b) design and implementation of research programmes (as appropriate to the field);

(c) contribution to the relevant research communities;

(d) leadership role in the professional development of others, such as acting as a mentor, supported by evidence of one's role in that development;

- (e) dissemination of professional practice to other members in the field through activities such as editorship or editorial board membership;
- (f) influence in the development of a profession;
- (g) leadership role in professional learned societies;
- (h) leadership in the generation of collaborative research programmes within the University, and/or with external bodies such as industry, iwi and other tertiary institutions including international collaborations;
- (i) record of effective contribution to the development of a discipline and its training programmes in the wider community;
- (j) research-led contributions to the University's internationalisation goals and to the University's ability to meet its Treaty responsibilities.

### **6.3 Evidence of Sustained Outstanding Leadership and Excellence in Teaching, Assessment and Curriculum Development**

In assessing sustained outstanding leadership and excellence in teaching and curriculum development, the Committee will look for exceptional ability to inspire high academic endeavour and for original thought with respect to teaching. In assessing evidence of sustained outstanding leadership and excellence, the Committee will consider the candidate's claims against some or all of the following (candidates may add further examples as appropriate):

- (a) leadership in the development of effective means within the control of the teacher to improve student learning;
- (b) development of an improved existing, or development of a high quality new, area or programme;
- (c) introduction of significantly improved and innovative assessment practices that are research-led;
- (d) leadership in the development and implementation of methods of quality assurance in teaching, assessment and curriculum development;

- (e) conduct of high quality evaluations of curricula, and teaching and assessment practices;
- (f) professional contribution related to teaching both inside and outside the University, particularly those recognised nationally and internationally;
- (g) academic awards or distinctions for teaching, including honorary degrees and prizes;
- (h) securing teaching grants;
- (i) consultancies on teaching;
- (j) recognition achieved by previous or current students in teaching, research, professional and other communities;
- (k) evidence of a leadership role in professional teaching development activities, such as coordinating and leading seminars, workshops etc, particularly nationally and internationally;
- (l) contributions to research-led teaching that assists the University in meeting its Treaty responsibilities.

Consideration should be given to the staff member's application of his/her research to his/her teaching (the research-teaching nexus).

### **6.4 Criteria and Evidence of Sustained Outstanding Leadership and Excellence in Service both to the University and External Community**

In assessing sustained outstanding leadership and excellence in service, the Committee will look for evidence of a contribution of great significance and distinction that is recognised as such throughout the University and outside the University. In assessing evidence of service the Committee will consider the candidate's claims against some or all of the following (candidates may add further examples as appropriate):

- (a) leadership and management role in a substantial unit which contributes to the University's goals;

- (b) successful communication of scholarship to the non-specialised public;
- (c) leadership role in the development of a field of study in the wider community and contribution to public debates on issues of importance in the community;
- (d) demonstrating leadership in the fostering of collegiality among the staff members of the Department/Institute/School;
- (e) substantial performance in administrative role/s of benefit to the University. Note: membership of administrative committees and/or the holding of administrative appointments is not sufficient without evidence of leadership and important achievements;
- (f) membership of government and/or industry advisory bodies;
- (g) membership of international delegations in the area of expertise;
- (h) professional leadership achieved by the development of close and continuing associations with industry, commerce, government or the community generally; and
- (i) provision of leadership in the development and implementation of health and safety measures in teaching and research.

# 7. DECISION-MAKING PROCEDURES

- 7.1** Decisions concerning Promotion to Associate Professor or Professor will be made by the University Academic Promotions Committee. Details concerning the membership and procedures are in Appendix 4.
- 7.2** Decisions will be based on the information contained in the application, the referees' statements, the Head of Institutes/School's statement, and the Pro Vice-Chancellor's statement.
- 7.3** Decisions will be conveyed to applicants in writing.
- 7.4** All unsuccessful promotion applicants will be invited to meet with the relevant Pro Vice-Chancellor to discuss the outcome of their promotion application. Following the meeting, written feedback will be given on request. The applicant may choose to take a support person from within the University to this meeting.
- 7.5** Names of successful applicants may be published at the completion of the promotion round if applicants provide their permission.

# 8. REVIEW PROCEDURES

- 8.1** Applicants may only request a review of the decision on procedural grounds. A procedural ground is an aspect of the procedure that was not correctly followed and which had a material impact on the decision that was made.
- 8.2** Notices will be placed in People@massey and also sent to all Heads of Institutes/Schools (or equivalent) reminding applicants of the opportunity to seek such a review.
- 8.3** Applications for review of decisions close **10 November 2017**.
- 8.4** Requests for review will be considered by the University Promotions Procedures Review Committee (details in Appendix 5). Where any procedural shortcoming is identified and it is considered to have materially impacted on the decision, the individual's application will be returned to the University Academic Promotions Committee for reconsideration, with the requirement that the necessary procedures be followed.
- 8.5** Applicants who have requested a review will be notified in writing of the decision.

# 9. PRIVACY & CONFIDENTIALITY

- 9.1** All materials and deliberations relating to promotion applications will be treated in the strictest confidence by all participants in the promotions and review processes. Committee members **will not discuss applications or committee recommendations outside of the committee meetings. Information obtained may be used for the training and development of Committees.**
- 9.2** Referees, other senior staff contacted by the Pro Vice-Chancellor and members of the University Academic Promotions Committee and University Promotions Procedures Review Committee are assured by the University that their deliberations and comments will remain confidential within the process of promotions and will not be released to applicants.
- 9.3** Applicants will receive a copy of the statement from their HoD/I/S.
- 9.4** Applicants will not have access to evaluative material gathered for the express purpose of assessing suitability for promotion in order to maintain the promise of confidentiality made by the University to Referees, other senior staff and members of the University Academic Promotions Committee and University Promotions Procedures Review Committee. Evaluative material will include referee comments, comments obtained by the Pro Vice-Chancellor from other senior staff and records of the deliberations of the University Academic Promotions Committee and the University Promotions Procedures Review Committee.
- 9.5** Information collected for the purposes of assessing suitability for promotion will not be held longer than necessary.

## APPENDICES

1.	2017 Timetable .....	19
2.	Summary of Responsibilities .....	20
3.	Terms of Reference of University Academic Promotions Committee .....	21
4.	Terms of Reference of University Promotions Procedures Review Committee.....	23

# APPENDIX 1

## 2017 PROMOTIONAL TO ASSOCIATE PROFESSOR/PROFESSOR ROUND

DATE	TIMETABLE
12 June	Promotion to Associate Professor/Professor Booklet available to applicants from People & Organisational Development web site <a href="#">here</a>
21 July	Applications close.
11 August	Head of Institute/School statement completed.
1 September	Pro Vice-Chancellor statement completed.
Between 25 September – 6 October	University Academic Promotions Committee meets.
27 October	Applicants for promotion notified of decision
10 November	Requests for review of decision (on procedural grounds only) close
Between 4 – 8 December	University Promotions Procedures Review Committee meets.
By 19 December	Applicants requesting review notified of decision.

*NB. Please note that while every attempt will be made to adhere to this timeline, events or circumstances may occur that necessitate a change.*

# APPENDIX 2

## SUMMARY OF RESPONSIBILITIES

### 1. Applicant:

- Discuss with your Head of Institute/School or a senior academic colleague the timing of the application and if you are applying for promotion to professor, the selection of the general promotion criteria under which you wish to have your application considered. However, you are responsible for the ultimate decision.
- Choose referees with care. They should be referees of international standing in the discipline and should not, except in exceptional circumstances, be close colleagues, co-authors, collaborators, former research supervisors or relatives.
- Ensure your application is complete in all respects and the evidence provided clearly supports the excellence, originality, significance and impact of your best work.
- Submit completed application form online. Please ensure that all information provided is succinct and accurate. The word limit for each section and total application length is as follows: **Two page** overview. Each section – Teaching, Research, Clinical and professional Practice, and Academic Citizenship must be no longer than **three pages**, Appendix **four pages**, Curriculum Vitae **twelve pages**. Job Description **two pages**. The use of hyperlinks is encouraged when referencing material that can be stored or is located electronically.

### 2. Head of Institute/School (or equivalent):

- Discuss with the applicant the timing of the application and for applicants seeking promotion to professor, the appropriateness of the general promotion criteria selected.
- Supply a statement that specifically addresses the applicant's merits against the promotion criteria that has been selected.
- Provide a copy of the statement to the applicant, and forward this to the Pro Vice-Chancellor.
- Upload your supporting statement through the online system.

### 3. Pro Vice-Chancellor:

- Supply a statement that comments on the applicant's merits for promotion and the reasons for the level of support provided.
- Provide a level of support using the online system
- Upload your supporting statement through the online system.

# APPENDIX 3

## UNIVERSITY ACADEMIC PROMOTIONS COMMITTEE

### Membership:

- (a) Assistant Vice-Chancellor (Research, Academic and Enterprise) or delegate (Chair).
- (b) Five (5) Professors, one (1) from each College, are nominated by the Colleges of preferably 1 male and 1 female (excluding HoDs or equivalent).
- (c) One Professor elected from and by those Professorial members of Academic Board who were elected by the University professoriate.
- (d) An Equity Observer (in attendance).
- (e) Assistant Vice-Chancellor (People & Organisational Development) or delegate (in attendance).
- (f) An independent observer of Professorial status may be appointed.

### Notes:

- (i) Should any of the above persons be unavailable, the Chair may appoint a replacement for that person. The Chair has the ability to co-opt others to enable diverse representation where appropriate.
- (ii) Each College Professoriate will nominate Professorial representatives (preferably 1 male and 1 female) from that College for consideration. The appointment will generally be for a four-year term. To allow for continuity, at least some members of the University Academic Promotions Committee will be consistent from year to year, with no more than 2 new members added in any given year. The membership of the Committee will be advised to applicants.

- (iii) The role of the Equity Observer is to ensure proper process and procedures are followed, and to advise on any equity and conflict of interest issues. The Equity Observer has full speaking rights on these matters at the meetings. The Equity Observer will provide to the Chair of the University Promotions Procedures Review Committee a written summary of any process, procedural, equity or conflict of interest matters that arose during the Committee deliberations.
- (iv) The role of the Independent Observer is to monitor the committee processes and decision-making. The Independent Observer will not have access to documentation submitted by the applicants, Heads of Departments/Institutes/Schools or referees. They will have speaking rights only in relation to procedural matters and will not participate in the decision-making of the committee. The Independent Observer will sign a confidentiality agreement and provide a written report to the Chair of the University Promotions Procedures Review Committee once the Committee has made its decisions.

**Terms of Reference:**

- (1) To conduct its business fairly, confidentially and with consistency.
- (2) In accordance with the set criteria, to make decisions on the applications for promotion to Associate Professor and Professor and make recommendations on salary increases to the Vice-Chancellor, applying:
  - (a) consistency in the application of promotions criteria;
  - (b) the application of University EEO Policy.
- (3) To formulate written grounds for all decisions made; these grounds to be used as the basis for feedback to applicants.
- (4) To prepare a report on its procedures and processes and the pattern of its decisions.

**Procedures:**

- (1) Committee members will have access to all relevant documents (including applications, HoD/S/I statements, PVC statements, referee reports) at least 14 days prior to meeting.
- (2) Decisions will normally be reached by discussion and consensus.
- (3) Committee procedures will ensure that there is consistency with the University EEO Policy.
- (4) The decision of the committee will be final.
- (5) The Committee must have a quorum of 6. In the event that the Committee does not have a quorum, members present may either make recommendations to be ratified at the next Committee meeting or defer the meeting until a quorum is able to be present.

# APPENDIX 4

## UNIVERSITY PROMOTIONS PROCEDURES REVIEW COMMITTEE

### Membership:

- (a) An Assistant Vice-Chancellor (Chair).
- (b) Another Assistant Vice-Chancellor.
- (c) A Professor with broad experience within the University.
- (d) An Equity Observer (in attendance).
- (e) Assistant Vice-Chancellor (People & Organisational Development) or delegate (in attendance).

*Note: Should any of the above persons be unavailable, the Vice-Chancellor will appoint a replacement for that person.*

### Terms of Reference:

The PPRC will meet for two purposes:

- (1) To review the procedures followed by the various Academic Promotions Committees each year. In doing this, it will consider the reports provided by each Promotions Committee and, the report of the Independent Observers, and produce an overall report on the promotions round procedures for the Vice-Chancellor.
- (2) To consider requests for reconsideration put forward by any applicant for promotion in that year.

Such requests must be detailed in writing and must clearly identify any matters of procedure that the applicant wants the Committee to review. The Committee shall consider such applications

to determine whether the relevant Academic Promotions Committee failed to adhere to procedural requirements. Where the Review Committee considers that there were procedural deficiencies and where it considers those deficiencies materially impacted on the relevant Academic Promotions Committee decision, it shall return the individual's application to the relevant Academic Promotions Committee for reconsideration with the requirement that the necessary procedures be followed.

### Procedures:

- (1) Committee members will have access to all relevant documents at least 7 days' prior to meeting. This will include, as applicable, reports from the relevant promotions committee on their procedures and processes, Independent Observer reports (where applicable), copies of promotion applications submitted by the applicants requesting reconsideration, the relevant HoD/I/S statements, copies of the relevant committee's written grounds for the decision and, a statement from the HoD/I/S and PVC on the review request.
- (2) The Committee may seek further information as required.

