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:WSU Walter Sisulu University

Promotion Policy

Sponsor Division	Academic Affairs & Research
Responsible Department	DVC (Academic Affairs & Research)

Policy Name and Related WSU Policies	
Policy Name	**Policy Name**
Promotion Policy	

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Chairperson of Council

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SECTION A: POLICY

1 INTRODUCTION

1.1 This document contains the parameters to be used when applications for personal promotion from academic staff are considered. Its intention is to provide flexible and non-mechanistic promotion rules applicable across all faculties and departments.

1.2 The policy applies only to permanent staff and staff appointed on contract for a period of three (3) years or more.

1.3 Although they need to be followed as closely as possible, this policy should not be seen to be exclusive or exhaustive. In applying this policy, the rigours of an applicant's particular job description, discipline or field should be borne in mind. Where appropriate, decisions should be benchmarked against best practices in cognate disciplines or fields, both within the University and at other comparable institutions.

1.4 A decision to promote or not to promote should be the outcome of a qualitative peer-review process and this policy is intended to assist in ensuring that the process is both transparent and equitable. The outcome should not be determined mechanistically or quantitatively. In each instance the question should be whether the applicant has met the appropriate standard envisaged in the policy, irrespective of whether any quantitative measures have been met exactly.

1.5 Promotion decisions should take into account the applicant's entire career and an applicant's standing and stature should be assessed in that context. However, activity undertaken prior to appointment at Walter Sisulu University ("WSU", "the University") or work considered in respect of a previous promotion will not be considered as direct evidence meriting promotion or further promotion. The focus will be on indicators of professional attainment completed while employed at WSU, particularly since appointment to the current position and within the last seven (7) years.

1.6 Since promotions are merit-based, there is no restriction on the number of promotions that may be effected in any one year and where persons have been adjudicated to meet the required standards their promotions may not be refused.

1.7 All promotions are "personal to holder"; in other words, the promotion decision is not dependent upon any vacancy and when promoted, a staff member's new

status is held against the previous position/s. Should the staff member cease to be an academic employee for whatever reason, a vacancy arises at the level to which the staff member was originally appointed. However, should a vacancy arise in the staff member's department at the level to which the staff member was promoted, the staff member is then placed against that vacant position and a vacancy arises at the level to which the staff member was originally appointed.

1.8   The promotion will take into consideration, *inter alia*, the following documentary evidence prepared by the candidate in the form of a portfolio, in line with the four criteria categories:

      1.8.1   A teaching portfolio
      1.8.2   A research portfolio/CV
      1.8.3   A community engagement portfolio
      1.8.4   A University service portfolio

2   PURPOSE AND OBJECTIVES

This policy serves to:

2.1   Ensure that quality academic staff members are promoted according to criteria that are transparent and consistently applied in all faculties and campuses.

2.2   Acknowledge staff members' contributions towards achieving the University's goal of being a high-quality academic institution; particularly in the fields of teaching and learning, research, university service and community engagement.

2.3   Reward staff members who have been working above standard thresholds set for their current appointment levels. In assessing merit against the criteria, worth, value and excellence of a staff member's service should be considered.

2.4   Reward staff members for actual and sustained service and achievement and to acknowledge positive evidence of promise of future contributions to the University.

2.5   Stimulate values and behaviours that the University considers to be important, amongst others, loyalty and commitment to the Institution and its mission, excellent service, collegiality and altruism and adherence to ethical practice.

2.6   This policy should not be used to correct incorrect appointments, as a substitute for the staff retention policy, to appoint a staff member to a higher level on the grounds of scarcity, or to appoint people who happen to meet minimum

appointment thresholds over time. Such matters must be dealt with in terms of other policies.

2.7 In cases of uncertainty or ambiguity, decisions should strive to give effect to the purposes that this policy is intended to achieve.

3 CRITERIA FOR PERSONAL PROMOTION

3.1 All applicants for promotion must satisfy the minimum criteria for appointment to the higher level and must, in addition, provide evidence that they meet the performance expectations for promotion, as detailed in this policy. In other words, for promotion, it is not sufficient merely to meet the minimum criteria: additional reasons for promotion, e.g. productivity and quality of performance, must be present.

3.2 Promotion is based on a variety of criteria falling within four broad categories:

   3.2.1 Teaching and learning, including teaching and learning theory; curriculum design; teaching ability; facilitation of learning; assessment practices; module and teaching evaluation; innovation.

   3.2.2 Research and Innovation, including accredited scholarly publications; registered intellectual property; artistic or creative endeavour; postgraduate supervision and innovation and commercialisation activities.

   3.2.3 Community engagement, including
      3.2.3.1 volunteerism and community outreach (altruistic engagement of students and staff in activities primarily benefiting the recipient community, with service provision as the primary goal);
      3.2.3.2 internships and co-operative education (activities where the student is the primary beneficiary and the goal is on student learning);
      3.2.3.3 service learning (activities where both the community and student are the primary beneficiaries, reciprocity being the central characteristic).

   3.2.4 University service (including administration, management and general service to a department, school or faculty, or to the University).

3.3 Applicants need not excel in all categories, nor meet criteria that are not appropriate to their situations; but evidence of achievement in either teaching and learning or research must be a core feature of every application.

3.4   For promotion to Senior Lecturer and above, points are awarded for each category on a scale of 1 to 4, progressing according to level reached within in each category. The level descriptors for the various categories are set out below (Items 9 to 12).

3.5   The criteria are normally weighted or balanced as follows:

Promotion Category	Minimum Points	Threshold Criteria
A[1]		Must meet the minimum appointment criteria
B[2]	7	One of teaching or research should be at Level 3 and the other at Level 2
C[3]	9	One of teaching or research should be at Level 3 and the other at Level 2
D[4]	11	At least three at Level 3
E[5]	12	Research at Level 3

3.6   Where an applicant meets the minimum points but fails to meet the threshold score in any one criterion, promotion may nonetheless occur:

3.6.1   In all categories except Category E, on the ground of exceptional performance (Level 4) in either the teaching or research categories

3.6.2   In Category B, on the grounds of all round performance, with a score of at least two (2) points above the points listed in the table above, i.e. nine (9) points.

3.7   Minimum appointment and promotion criteria specified must be met in all instances; except where a candidate's job description excludes an assessment category.[6]

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[1] Promotion to Lecturer, Researcher.
[2] Promotion to Senior Lecturer, Senior Researcher.
[3] Promotion to Associate Professor.
[4] Promotion to Professor.
[5] Promotion to Senior Professor.

3.8 The benchmarking and level standards set out below are intended to guide applicants and decision-makers as to the kind of activity that should be considered in reaching a decision on whether the required level for each category has been met. Applicants need not meet all the benchmarks under a particular heading, but the qualitative weight of the evidence must indicate that the applicant has substantially met the standard set for assessing a particular level and/or the promotion category as a whole.

4 PROMOTION TO LECTURER OR RESEARCHER (GRADE 8) – CATEGORY A

4.1 Category profile

This category represents entry level positions for an academic career in respect of persons who have some work experience either within or outside the academic environment.

4.2 Minimum appointment criteria

4.2.1 Possession of a Master's degree.[7]

4.2.2 Basic theoretical knowledge of the field.

4.2.3 Either:

   (a) **Competence and/or demonstrated potential in communicating knowledge and facilitating teaching and learning in a lecture, seminar, tutorial and/or practical or laboratory environment; and in assessment practices; coupled with a potential to undertake research; or**

   (b) **An understanding of fundamental research methodology and competence or demonstrated potential in facilitating research tutorials/seminars and practical sessions; and/or**

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[6] For example, teaching might not be a suitable category for a person who is appointed as a researcher, in which event that category must be excluded and research and postgraduate supervision be given greater emphasis, with concomitant adjustments to the weighting. For members of academic support services to be considered for under this policy they must provide evidence of academic involvement in areas other than those in which they provide support. Where a different approach is followed, the variation must be recorded.

[7] On first appointment, exceptions may be made in respect of (a) professional disciplines, in which event an Honours degree/ 4-year Bachelor's degree plus an assessed professional qualification/ postgraduate diploma in higher education would be a prerequisite; or (b) applicants have substantial experience sufficient to qualify them for the particular position under consideration. (Applicants who fall into these categories are not exempted from complying with the other appointment criteria.)

undertaking research projects, production of research reports and conduction of tutorials and/or practical sessions.

4.2.4   Potential to undertake administrative responsibilities at departmental level.

4.2.5   Sound interpersonal skills.

4.3   Promotion criteria

4.3.1   An applicant must meet the minimum appointment criteria.

4.3.2   A Master's degree, irrespective of the discipline or field or exceptions made in terms of footnote 7.[8]

4.3.3   Completion of assessed training in the assessment of learning at NQF Level 7/8, or an equivalent teaching qualification.

4.4   Benchmarking criteria for promotion

4.4.1   Competence as a Junior Lecturer, having demonstrated that the applicant has progressed beyond showing only scholarship potential in the academic environment.

4.4.2   Satisfactory teaching performance, commensurate with the nature of the post to which the applicant was previously appointed.

4.4.3   Ongoing research activity and dissemination of research findings, including a reasonable record of publications in accredited and/or internationally-recognised research journals, commensurate with the applicant's discipline and the nature of the post to which the applicant was previously appointed.

4.4.4   Ability or potential to supervise research at Honours and Master's levels and to develop research capacity.

4.4.5   Service to the University either at departmental or institutional level.

4.4.6   Community engagement activity.

4.4.7   Sound interpersonal skills.

5   PROMOTION TO SENIOR LECTURER OR SENIOR RESEARCHER (GRADE 7) – CATEGORY B

5.1   Category profile

As its designation implies, this category is a senior one and represents persons who have established themselves in academia. It may, however, serve as an entry level for

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[8] The exceptions in the footnote apply to appointment only. For promotion purposes, the minimum criteria are the same for all disciplines.

an academic career in respect of persons who have considerable work experience outside the academic environment. Although it may be considered a viable exit level for an academic career, persons in this category should preferably show potential to proceed to professorial levels.

5.2 Minimum appointment criteria

5.2.1 Possession of a doctoral degree.[9]

5.2.2 Sound theoretical knowledge of the field.

5.2.3 Either:

    (a) Competence in communicating knowledge and facilitating teaching and learning in a lecture, seminar, tutorial and/or practical or laboratory environment; in assessment practices; potential to engage in curriculum design and development; and a demonstrated ability to undertake research; or

    (b) A thorough understanding of fundamental research methodology and competence in facilitating research tutorials/seminars and practical sessions; and/or undertaking research projects, production of research reports and conduction of tutorials and/or practical sessions.

5.2.4 Ability or potential to supervise research and develop research capacity.

5.2.5 Demonstrated ability to undertake administrative responsibilities at departmental or institutional levels.

5.2.6 Ability and willingness to participate in community engagement projects.

5.2.7 Sound interpersonal skills.

5.3 Promotion criteria

5.3.1 An applicant must meet the minimum appointment criteria.

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[9] Exceptions may be made in the following four instances: (a) in respect of professional disciplines (Medicine, Engineering, Accounting, Law) and those disciplines or fields in which the final formal qualification is not necessarily a doctoral degree, in which event a CA qualification or a relevant discipline-specific degree at Master's level (other than an MBA, MBL or similar qualification) would be sufficient; (b) applicants with a relevant discipline-specific Master's degree (other than an MBA, MBL or similar qualification) plus a postgraduate certificate or diploma in higher education or an equivalent qualification, and (c) applicants with a relevant discipline-specific Master's degree (other than an MBA, MBL or similar qualification) plus a reasonable research record commensurate with the applicant's previous position, either within or outside academia; or (d) applicants have substantial experience sufficient to qualify them for the particular position under consideration. (Applicants who fall into these categories are not exempted from complying with the other appointment criteria.)

5.3.2   Completion of assessed training in the assessment of learning at NQF Level 7/8, or an equivalent teaching qualification.

5.3.3   Completion of assessed training in postgraduate supervision at NQF Level 7/8, or an equivalent postgraduate supervision qualification.[10]

5.3.4   Minimum of seven (7) points, with either teaching or research at Level 3 and the other at Level 2; alternatively, a minimum of seven (7) points with either teaching or research at Level 4; alternatively, nine (9) points in total.

5.4   Benchmarking criteria for promotion

5.4.1   Competence in respect of service at the level of Lecturer or Researcher, demonstrating that the applicant is being recognised by the academic community for producing sound scholarship in either the teaching or research categories.

5.4.2   Ability to teach well at different academic levels, commensurate with the nature of the post to which the applicant was previously appointed.

5.4.3   For promotion to Senior Lecturer, an interest in and engagement with the theory of teaching and learning, participation in teaching development programmes, and management of academic programmes.

5.4.4   For promotion to Senior Researcher, advanced research skills or capacity in the relevant discipline or field and participation in development programmes.

5.4.5   Ongoing research activity and dissemination of research findings, including a reasonable record of publications in accredited and/or internationally-recognised research journals, commensurate with the applicant's discipline and the nature of the post to which the applicant was previously appointed.

5.4.6   Ability to supervise research of higher degree candidates and to develop research capacity.

5.4.7   Service to the University either at departmental or institutional level.

5.4.8   Ability to take on administrative responsibilities at departmental level.

5.4.9   Academic and/or professional participation at national and/or international level.

5.4.10 Community engagement activity.

5.4.11 Sound interpersonal skills, including a commitment to collegiality and equal opportunity.

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[10] A postgraduate supervision qualification is essential in the case of persons seeking promotion to Senior Researcher.

6 PROMOTION TO ASSOCIATE PROFESSOR (GRADE 6) – CATEGORY C

6.1 Category profile

This category normally represents persons who have established themselves in academia and who either have gained or are about to gain, status and wider recognition in respect of their scholarship. The category may be considered an exit level for an academic career, although persons in this category should have the ability to proceed to professorial levels and to participate in the broader academic community, within the particular discipline or field and/or at institutional level.

6.2 Minimum appointment criteria

6.2.1 Possession of a doctoral degree.[11]

6.2.2 Advanced theoretical knowledge of and insights into the field.

6.2.3 Either:

(a) Competence in communicating knowledge and facilitating teaching and learning in a lecture, seminar, tutorial and/or practical or laboratory environment; in assessment practices; the ability to engage in curriculum design and development; and a demonstrated ability to conduct high-quality research; or

(b) A thorough understanding of fundamental research methodology and competence in facilitating research tutorials/seminars and practical sessions; and/or undertaking research projects, production of research reports and conduction of tutorials and/or practical sessions.

6.2.4 A substantial number of conference papers, peer-reviewed publications or other acceptable research outputs.

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[11] Exceptions may be made in the following four instances: (a) in respect of the accounting and medical professions, in which event a CA or a professional fellowship in medicine, together with a discipline-specific degree at Master's level (other than an MBA, MBL or similar qualification) would be a prerequisite; (b) those disciplines or fields in which the final formal qualification is not necessarily a doctoral degree, in which event a relevant discipline-specific degree at Master's level (other than an MBA, MBL or similar qualification) would be a prerequisite; (b) applicants with a Master's degree plus a postgraduate diploma in higher education or an equivalent qualification, and (c) applicants with a Master's degree plus a reasonable research record commensurate with the applicant's previous position, either within or outside academia; or (d) applicants have substantial experience sufficient to qualify them for the particular position under consideration. (Applicants who fall into these categories are not exempted from complying with the other appointment criteria.)

6.2.5 Peer-recognition as a specialist in the field and a potential to make a substantial contribution to the discipline or field.

6.2.6 Ability to supervise research at postgraduate level and to develop research capacity.

6.2.7 Involvement in the wider academic community (e.g. editorships, review requests, participation in professional bodies).

6.2.8 Ability and willingness to undertake administrative responsibilities at departmental or institutional levels and to assume leadership positions, either in administration or in academic or professional activity.

6.2.9 Ability and willingness to participate in community engagement projects.

6.2.10 Sound interpersonal skills, including a commitment to collegiality and equal opportunity.

6.3 Promotion criteria

6.3.1 An applicant must meet the minimum appointment criteria.

6.3.2 A doctoral degree, irrespective of the discipline or field or exceptions made in terms of footnote 11.[12]

6.3.3 Completion of assessed training in the assessment of learning at NQF Level 7/8, or an equivalent teaching qualification.

6.3.4 Completion of assessed training in postgraduate supervision at NQF Level 7/8, or an equivalent postgraduate supervision qualification.

6.3.5 Minimum of nine (9) points, with either teaching or research at Level 3 and the other at Level 2; alternatively, a minimum of nine (9) points with either teaching or research at Level 4.

6.4 Benchmarking criteria for promotion

6.4.1 Competence as a Senior Lecturer or Senior Researcher, demonstrating that the applicant has been recognised by the academic community for producing sound scholarship in either the teaching or research categories.

6.4.2 Ability to teach well at different academic levels, commensurate with the nature of the post to which the applicant was previously appointed.

6.4.3 For promotion from Senior Lecturer, an interest in and engagement with the theory of teaching and learning, active promotion of and

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[12] The exceptions in the footnote apply to appointment only. For promotion purposes, the minimum criteria are the same for all disciplines.

participation in teaching development programmes and demonstrated ability to play a role in curriculum design and development.

6.4.4 For promotion from Senior Researcher, advanced research skills or capacity in the relevant discipline or field and participation in development programmes. Must have demonstrated strong research and academic leadership (e.g., by serving on university committees, professional and academic associations, acting as head of division or discipline), with competencies to serve as head of research division.

6.4.5 Ongoing research activity and dissemination of research findings, including a reasonable record of publications in accredited and/or internationally-recognised research journals, commensurate with the applicant's discipline and the nature of the post to which the applicant was previously appointed.

6.4.6 Capacity to initiate, manage and supervise research, including research at doctoral and postdoctoral level, and to develop research capacity.

6.4.7 A credible research record relative to others in the same field in appropriate academic journals.

6.4.8 Professional and academic standing in the field of specialization.

6.4.9 Ability to assume leadership positions either at departmental or institutional level, including the capacity to represent the department or the University.

6.4.10 Service to the University either at departmental or institutional level.

6.4.11 Ability to take on administrative responsibilities at departmental level.

6.4.12 Academic and/or professional participation at national and/or international level.

6.4.13 Community engagement activity.

7 PROMOTION TO PROFESSOR (GRADE 5) – CATEGORY D

7.1 Category profile

This category represents persons who have established themselves in academia and have gained status and wider recognition in respect of their scholarship and participation in the broader academic community. The category is an exit level for an academic career.

7.2 Minimum appointment criteria

7.2.1 Possession of a doctoral degree.[13]

7.2.2 Advanced theoretical knowledge of and insights into the field.

7.2.3 Competence in communicating knowledge and facilitating teaching and learning in a lecture, seminar, tutorial and/or practical or laboratory environment; in assessment practices; the ability to engage in curriculum design and development; and a demonstrated ability to conduct high-quality research.

7.2.4 A thorough understanding of fundamental research methodology and competence in facilitating research tutorials/seminars and practical sessions; and/or undertaking research projects, production of research reports and conduction of tutorials and/or practical sessions.

7.2.5 A substantial number of conference papers, peer-reviewed publications or other acceptable research outputs.

7.2.6 Peer-recognition as a specialist in the field and a potential to make a substantial contribution to the discipline or field.

7.2.7 Ability to supervise research at postgraduate level and to develop research capacity.

7.2.8 An involvement in the wider academic community (e.g. editorships, review requests, participation in professional bodies).

7.2.9 Capacity and willingness to undertake administrative responsibilities at departmental or institutional levels and to assume leadership positions, either in administration or in academic or professional activity.

7.2.10 Promotion of and/or active participation in community engagement projects and/or leadership in establishing such projects.

7.2.11 Sound interpersonal skills, including a commitment to collegiality and equal opportunity.

7.3 Promotion criteria

7.3.1 An applicant must meet the minimum appointment criteria.

7.3.2 Completion of assessed training in the assessment of learning at NQF Level 7/8, or an equivalent teaching qualification.

7.3.3 Completion of assessed training in postgraduate supervision at NQF Level 7/8, or an equivalent postgraduate supervision qualification.

7.3.4 Minimum of eleven (11) points, with three (3) at Level 3; alternatively, a minimum of eleven (11) points with either teaching or research at Level 4.

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[13] An exception may be made where applicants have substantial experience sufficient to qualify them for the particular position under consideration. (Applicants who fall into this category are not exempted from complying with the other appointment criteria.)

7.4 Benchmarking criteria for promotion

7.4.1 Competence as an Associate Professor, demonstrating that the applicant has been recognised by the academic community for producing sound scholarship in either the teaching or research categories, but preferably in both.

7.4.2 Ability to teach effectively at different academic levels, commensurate with the nature of the post to which the applicant was previously appointed.

7.4.3 An interest in and engagement with the theory of teaching and learning, the promotion of/active participation in teaching development programmes and the capacity to play a role in curriculum design and development; management of academic programmes; recognition for advanced teaching practice and/or evidence of mentoring.

7.4.4 Ongoing research activity and dissemination of research findings, including a reasonable record of publications in accredited and/or internationally-recognised research journals, commensurate with the applicant's discipline and the nature of the post to which the applicant was previously appointed.

7.4.5 A substantial record of high quality scholarship and research relative to others in the same field, evidenced by a record of high quality publications in appropriate academic journals.

7.4.6 Capacity to initiate, manage and supervise research, including research at doctoral and postdoctoral level, to attract research students and/or research projects and funding, and to develop research capacity.

7.4.7 Professional and academic standing in the field of specialization.

7.4.8 Ability to assume leadership positions either at departmental or institutional level, including the capacity to represent the Department or the University, and the capacity to lead the department in a dynamic and inspiring way.

7.4.9 The ability and willingness to encourage the intellectual and career aspirations of staff and students.

7.4.10 Where appropriate, advanced research skills or capacity in the relevant discipline or field and participation in development programmes. Must have demonstrated strong research and academic leadership (e.g., by serving on university committees, professional and academic associations, acting as head of division or discipline), with competencies to serve as head of research division.

7.4.11 Service to the University either at departmental or institutional level.

7.4.12 Ability to take on administrative responsibilities at departmental level.

7.4.13 Academic and/or professional participation at national and/or international level.

7.4.14 Community engagement activity.

7.4.15 A track record of service to the academic and wider community, either by contributing to teaching and learning or as a research leader in a particular discipline or field, nationally and internationally.

8 PROMOTION TO SENIOR PROFESSOR (GRADE 4) – CATEGORY E

8.1 Category profile

This category represents persons who have distinguished themselves as professors with a strong and sustained research record; and who have gained status and wider recognition in respect of the quality of their scholarship and active leadership in the broader academic community. The category is an exit level for an academic career.

8.2 Minimum appointment criteria

8.2.1 Possession of a doctoral degree.

8.2.2 Advanced theoretical knowledge of and insights into the field.

8.2.3 Acknowledged high-level expertise in communicating knowledge and facilitating teaching and learning in a lecture, seminar, tutorial and/or practical or laboratory environment; in assessment practices; the ability to engage in curriculum design and development; and a demonstrated ability to conduct high-quality research.

8.2.4 A thorough understanding of fundamental research methodology and competence in facilitating research tutorials/seminars and practical sessions; and/or undertaking research projects, production of research reports and conduction of tutorials and/or practical sessions.

8.2.5 An NRF rating of at least C2.

8.2.6 A substantial number of conference papers, peer-reviewed publications or other acceptable research outputs, with a sustained recent publication track record of accredited publications in high-quality outlets.

8.2.7 Peer-recognition as a specialist in the field and as having made a substantial contribution to the discipline or field.

8.2.8 A track record of having supervised research at postgraduate level and to develop research capacity.

8.2.9 Collaborations with national and international research partners.

8.2.10 An involvement in the wider academic community (e.g. editorships, review requests, participation in professional bodies).

8.2.11 Capacity and willingness to undertake administrative responsibilities at departmental or institutional levels and to assume leadership positions, either in administration or in academic or professional activity.

8.2.12 Capacity and willingness to mentor young and/or inexperienced academics.

8.2.13 Promotion of and/or active participation in community engagement projects and/or leadership in establishing such projects.

8.2.14 Sound interpersonal skills, including a commitment to collegiality and equal opportunity.

8.3 Promotion criteria

8.3.1 An applicant must meet the minimum appointment criteria.

8.3.2 Completion of a period of three (3) years as a professor.

8.3.3 Completion of assessed training in the assessment of learning at NQF Level 7/8, or an equivalent teaching qualification.

8.3.4 Completion of assessed training in postgraduate supervision at NQF Level 7/8, or an equivalent postgraduate supervision qualification.

8.3.5 Minimum of twelve (12) points, with research at Level 3.

8.4 Benchmarking criteria for promotion

8.4.1 Distinguished service as a Professor, demonstrating that the applicant is respected within the academic community as an academic producing sound scholarship in either the teaching or research categories, but preferably in both.

8.4.2 Ability to teach effectively at different academic levels, commensurate with the nature of the post to which the applicant was previously appointed.

8.4.3 Engagement with the theory of teaching and learning, promotion of or active participation in teaching development programmes and leadership in curriculum design and development; management of academic programmes; recognition for advanced teaching practice and/or evidence of mentoring.

8.4.4 Ongoing research activity and dissemination of research findings, including a substantial record of recent publications in accredited and/or internationally-recognised research journals, commensurate with the nature of the post to which the applicant was previously appointed.

8.4.5 A substantial record of high quality scholarship and research relative to others in the same field, evidenced by a record of high quality publications in appropriate academic journals.

8.4.6 A track record of having initiated, managed and supervised research, including research at doctoral and postdoctoral level, to attract research students and/or research projects and funding, and to develop research capacity.

8.4.7   Professional and academic recognition in the field of specialization.

8.4.8   Leadership either at departmental or institutional level, including having represented the Department or the University, and having led a department and/or other academic entity in a dynamic and inspiring way.

8.4.9   Mentorship of and willingness to encourage the intellectual and career aspirations of staff and students.

8.4.10 Advanced research skills in the relevant discipline or field and participation in development programmes.

8.4.11 Must have demonstrated strong research and academic leadership (e.g., by serving on university committees, professional and academic associations, acting as head of division or discipline), with competencies to serve as head of research division.

8.4.12 Service to the University either at departmental or institutional level.

8.4.13 Capacity and willingness to take on administrative responsibilities at departmental and or institutional level.

8.4.14 Academic and/or professional participation at national and/or international level.

8.4.15 Community engagement activity.

8.4.16 A track record of service to the academic and wider community, either by contributing to teaching and learning or as a research leader in a particular discipline or field, nationally and internationally.

9   LEVEL DESCRIPTORS: TEACHING ABILITY AND FACILITATION OF LEARNING

Only teaching assigned by a Head of Department or Dean of Faculty and thereafter recorded, monitored, evaluated and assessed within the academic line management system will be considered. Work done outside this management system may, if appropriate, fall within the scope of another level descriptor, e.g. community engagement.

9.1   Teaching and Learning Performance Level 1

Performance at Level 1 means competence in key aspects of teaching commensurate with the applicant's teaching duties. A pass in at least two (2) modules of a PGCE, PGDHET or equivalent programme will satisfy the requirements of Level 1. In other instances the required competence will be indicated by most of the following:

9.1.1   Modules designed in an effective way appropriate for the subject matter and the level and type of students concerned, and having explicit outcomes.

9.1.2 Teaching methods that are of an appropriate standard and stimulation, including the provision of comprehensive information about all aspects of the module.

9.1.3 Teaching materials that are of an appropriate standard and incorporate recent research material.

9.1.4 Support for students' learning inside and outside the classroom.

9.1.5 Co-ordination, development and implementation of academic development programmes.

9.1.6 Assessment of students' work that fits with the teaching outcomes and the material, provides timely and effective feedback to students, and sets good academic standards.

9.1.7 Contribution to setting up new initiatives (e.g., use of e-learning).

9.1.8 Participation in professional development initiatives offered.

9.2 Teaching and Learning Performance Level 2

Competence at Level 2 means a higher level of competence and higher standards in all the aspects of teaching listed in Level 1 above, commensurate with a person's teaching duties. An applicant who has obtained at least half of the modules towards a PGCE, PGDHET or equivalent programme has met the requirements of Level 2. In other instances the applicant must demonstrate that s/he has met most of the following:

9.2.1 Participates in professional development initiatives.

9.2.2 Has built external networks of contacts around one or more teaching interests of the department.

9.2.3 Participates in wider professional activities such as external examining at the undergraduate and/or Honours level, nationally and/or internationally.

9.2.4 Evaluates module(s) and/or teaching by a variety of methods, and has improved the module(s)/teaching over time.

9.2.5 Demonstrates an awareness of general issues and current expectations in the teaching of his/her discipline or field, and is up to date in terms of content and methods of teaching.

9.2.6 Actively participates in new approaches to teaching within the department.

9.2.7 Co-ordination, development and implementation of academic or academic development programmes.

9.3 Teaching and Learning Performance Level 3

Quality teaching, engagement with the theory of teaching and learning, innovation and leadership in teaching and developments in teaching and learning mark performance at

Level 3. In addition to satisfying the performance indicators for Level 2, an applicant should provide evidence of having met most of the following:

9.3.1   Participation in professional development initiatives.

9.3.2   Enhancement of the applicant's formal teaching qualifications (e.g. having obtained a PGCE or PGDHET).

9.3.3   Significant participation in national teaching initiatives or success in obtaining grants/funding for teaching initiatives.

9.3.4   Successful innovation in teaching methods and assessment, leadership of departmental initiatives to improve teaching, and evidence of the dissemination of these practices in the University or more widely through participation in discipline or field groups or groups for improving teaching.

9.3.5   Engagement in research into teaching.

9.3.6   Very good teaching attested to by, for example, evidence from peer observations and student feedback, or an award for teaching.

9.3.7   Effective co-ordination, development and implementation of academic or academic development programmes.

9.3.8   Significant involvement in professional development and/or mentoring of colleagues.

9.3.9   Initiatives taken to invite visiting academics to enhance teaching within the department.

9.3.10   Sessions chaired at national teaching-related conferences and/or workshops.

9.4   Teaching and Learning Performance Level 4

This level of competence is marked by achievements in terms of leadership, innovation and dissemination (using indicators for Level 3) that are of national eminence and have been sustained over a period of time. The applicant's peers should attest to the high regard in which his/her work is held, and that his/her teaching activities have changed a significant element of how the discipline or field is taught and/or learned. Only in exceptional circumstances would an applicant at this level not have attained a formal teaching qualification in higher education teaching and learning. An applicant should provide evidence of having met most of the following:

9.4.1   Participation in professional development initiatives.

9.4.2   Enhancement of the applicant's formal teaching qualifications (e.g. having obtained a PGCE or PGDHET).

9.4.3   External recognition of the applicant's contribution to teaching and learning.

9.4.4 Recognition for effective co-ordination, development and implementation of academic or academic development programmes.

9.4.5 Establishing and developing sustainable teaching-related networks with other higher education institutions that bring benefit to the University.

9.4.6 Initiatives taken to organize teaching-related workshops/seminars within and outside the University.

9.4.7 Establishment of DHET/CHE/SAQA-approved new programmes and/or curricula to enhance a department's profile in teaching, research and community involvement.

9.4.8 Generation of funds related to teaching for the department.

9.4.9 Initiatives to secure visitors to the department to enhance the teaching profile of the department/faculty.

10 LEVEL DESCRIPTORS: RESEARCH, PUBLICATIONS AND CREATIVE WORK

Research includes scholarly presentation and publications, artistic or creative endeavour and postgraduate supervision). Artistic or creative endeavour would include creative writing which shows evidence of substantial research, or research which is more arts-specific, where the process of creation constitutes a research process resulting in outcomes in the form of artefacts and performances. (See the NRF's "Key Research Areas and Types of Research Outputs", which in cases of doubt should serve as the benchmark.)

In Accountancy, papers written for professional journals and public presentations interpreting new developments will be considered as research. Updating teaching material to incorporate regular legislative and professional requirements may serve as additional evidence of research, but cannot serve as the only evidence.

Research-related community engagement activities may be taken into account when assessing an applicant's research standing.

10.1 Research Level 1

Performance at Level 1 signifies ability, based on recent research outputs, to engage in research projects and/or the production and dissemination of research outputs on a regular basis. Completion of assessed training in postgraduate supervision at NQF Level 7/8, or an equivalent postgraduate supervision qualification or a research module of a PGCE, PGDHET or equivalent programme will satisfy the requirements of Level 1. In other instances the required competence in key aspects of research (commensurate with the applicant's research activities) might be indicated by most of the following:

10.1.1 Participation in research projects, whether individual or collaborative, large or small, with an indication of the part played.

10.1.2 Dissemination of research findings through conference papers.

10.1.3 Evidence of research publications, preferably in accredited and/or internationally-recognised research journals, or creative work.

10.2 Research Level 2

Performance at Level 2 indicates an ongoing involvement in research, the regular production and dissemination of research outputs of quality and participation in research meetings. The applicant has a growing research reputation. Recognition by the NRF in the form of a Y (or higher) rating or in the award of an NRF research grant satisfies the requirements of Level 2. In the absence of such NRF recognition, indicators, in addition to those set out for Level 1, include most of the following:

10.2.1 Attendance and participation at national and international research gatherings and regular dissemination of research findings in the form of conference papers, including research contributions presented at research meetings, conferences, workshops or seminars, nationally and, preferably, internationally.

10.2.2 A steady publication record, commensurate with benchmarks within the discipline or field, of quality research outputs, the majority of which appears in accredited and/or internationally-recognised research journals, or creative work that has received broad recognition.

10.2.3 Supervision of postgraduate research (commensurate with the applicant's research activities), including mentoring of students.

10.2.4 Building external networks of contacts around the applicant's research interests.

10.2.5 Involvement in the formulation of bids and proposals for funded research work.

10.3 Research Level 3

Performance at Level 3 indicates a research reputation in the field at a national level and possibly a growing international reputation. The applicant is producing quality research outputs on a regular basis, regularly presents papers at research meetings and supervises postgraduate students. An NRF C (or higher) rating satisfies the requirements of Level 3. In the absence of such rating, indicators, in addition to those set out for Level 2, include most of the following:

10.3.1 Attendance at national and international research gatherings and regular dissemination of research findings in the form of conference papers,

including research contributions presented at research meetings, conferences, workshops or seminars, nationally and internationally.

10.3.2 A strong publication record, commensurate with benchmarks within the discipline or field, of quality research outputs, the majority of which appears in accredited and, preferably internationally-recognised research journals, or creative work that has received national recognition.

10.3.3 Supervision of postgraduate research (commensurate with the applicant's research activities), including mentoring of students.

10.3.4 Demonstrable impact of research on society.

10.3.5 Registered intellectual property, e.g. patents.

10.3.6 Research reports and contributions to public policy formulation.

10.3.7 Ability to attract research funding.

10.3.8 Takes a lead in steering the research strategy of a department and leads/wins bids/opportunities/collaboration with other institutions and bodies producing demonstrable benefits to the University.

10.3.9 Recognised as an authority within his/her field of research, e.g., evaluation of NRF proposals for funding; serving on NRF panel for research funding; and evaluation of researchers for NRF rating.

10.3.10 Innovative and/or creative work (e.g., creative writing, dramatic productions, exhibitions, recitals, media productions and inventions).

10.3.11 Sessions chaired at national conferences/research-related workshops.

10.3.12 Initiatives taken to secure visits by researchers to one's department to enhance the research profile of the department.

10.3.13 Effectively examines Master's dissertations and/or doctoral theses at the external level.

10.4 Research Level 4

Performance at Level 4 indicates a national reputation as a leader in the field and, where appropriate to the discipline or field, an international reputation. The applicant is highly productive, produces quality research on a consistent basis, presents papers at national and international research meetings and is used as a referee. The applicant has the ability to stimulate and initiate new research and has a successful record of supervising postgraduate students. An NRF B (or higher) rating satisfies the requirements of Level 4. In the absence of such rating, indicators, in addition to those set out for Level 3, include most of the following:

10.4.1 Research reputation of an international standing and recognition as an authority within his/her research specialization, or a similar reputation for creative endeavour.

10.4.2 Invitations to act as Keynote speaker at international conferences and research meetings.

10.4.3 Scholarly publications that could include editorship of publications, software systems, internet publications, textbooks and posters for use at primary, secondary and tertiary levels.

10.4.4 Active participation in technology transfer initiatives.

10.4.5 Develops new research groups and approaches, including leading collaboration with other institutions and external bodies.

10.4.6 External examiner for national and international Ph. D candidates.

10.4.7 Consulted by national research bodies (e.g., Government and NRF) on academic and/or policy matters.

10.4.8 Generating funding opportunities related to research within a department including bursaries and scholarships for staff and students.

10.4.9 Initiatives to secure postdoctoral fellow(s) to enhance the research profile of the Department/Faculty.

11 LEVEL DESCRIPTORS: COMMUNITY ENGAGEMENT

Community engagement (CE) articulates the University's social responsibility/investment/development programme and refers to initiatives that link University activities to the community it serves, in particular partnerships aimed at addressing the social, cultural and economic development objectives of society. Teaching, research and management/ administrative skills are put to the service of the wider community. CE has both an "external" aspect (that highlights interaction with communities) and an "internal" aspect (that relates to the institution's teaching and learning and research needs). Aspects of community engagement might therefore overlap with other areas of competence, that is, teaching and learning, research and university service.

CE includes: (a) Volunteerism and community outreach (altruistic engagement of students and staff in activities primarily benefiting the recipient community, with service provision as the primary goal) (b) Internships and co-operative education (activities where the student is the primary beneficiary and the goal is on student learning); (c) Service learning (activities where both the community and student are the primary beneficiaries, reciprocity being the central characteristic).

Society must be satisfied that the Institution has made a difference to the community in which it is situated and the projects should comprise genuine social investment or social development initiatives, not marketing exercises. The measure of good CE should not be the level of income that is being generated, but the impact that the University has on society, especially on the communities within its immediate vicinity.

11.1 Community Engagement <u>Level 1</u>

Performance at Level 1 requires involvement in CE initiatives and may be demonstrated through meaningful contribution to any CE activity as defined, not necessarily in an organizational capacity.

11.2 Community Engagement <u>Level 2</u>

Performance at Level 2 requires a greater level of involvement and/or responsibility than in Level 1. Indicators, <u>in addition</u> to those mentioned for Level 1, could include most of the following:

11.2.1 Contribution to community development through community projects that impact on socio-economic/living conditions in communities.

11.2.2 Projects in which staff and students evidence a spirit of volunteerism.

11.2.3 Initiatives that promote service learning and experiential learning.

11.2.4 Involvement promotion of CE at departmental, faculty and/or institutional level.

11.3 Community Engagement <u>Level 3</u>

Performance at Level 3 requires involvement and evidence of leadership in CE activities Indicators, <u>in addition</u> to those mentioned for Level 2, could include most of the following:

11.3.1 An ability to incorporate CE into the academic curriculum.

11.3.2 Demonstrated initiative and contribution to policy formulation.

11.3.3 Creation and maintenance of linkages between the University and employers, schools, industry and government agencies, and national and international universities.

11.3.4 Representative of the University on formal external bodies in either the public or private sector.

11.3.5 Contribution towards teaching and research expertise for the development of the wider community.

11.3.6 Administration of CE projects in the Institution.

11.3.7 Seeking opportunities for CE at the Institution.

11.3.8 Raising funds for CE initiatives.

11.4 Community Engagement Level 4

Performance at Level 4 requires both internal and external recognition for involvement and leadership in CE initiatives. Indicators, in addition to those mentioned for Level 3, could include most of the following:

11.4.1 Active participation in technology transfer initiatives.

11.4.2 Contribution to significant cross-directorate and/or cross-faculty developments.

11.4.3 Significant contribution to resource development.

11.4.4 Formal policy and/or curriculum development at national or international level.

11.4.5 Involvement in the development of CE theory and policy.

11.4.6 Participation at conferences and showcasing CE experiences to a wider audience.

11.4.7 Evidence of recognition of involvement in CE, for example, publicity that projects generate, and requests to advise others on CE activities.

11.4.8 Significant fundraising activity.

12   LEVEL DESCRIPTORS: UNIVERSITY SERVICE

The area of administration and management covers a broad range of externally and internally focused administrative activities that demonstrate benefit to the University.

12.1 University Service Level 1

Performance at Level 1 requires participation primarily in departmental and faculty administration, commensurate with an applicant's position. Indicators of competence at Level 1 may include most of the following:

12.1.1 Significant fundraising activity. Effective administration and management of responsibilities commensurate with a person's duties within the department and/or faculty.

12.1.2 Effective participation in departmental work groups.

12.1.3 Involvement in departmental policy initiatives or module re-structuring proposals (e.g., through membership of departmental committees).

12.1.4 Membership of faculty committee(s).

12.2 University Service <u>Level 2</u>

Performance at Level 2 requires higher levels of responsibility than in Level 1 in departmental and faculty administration, commensurate with an applicant's responsibility and participation in committee work at institutional and or external level. Indicators, <u>in addition</u> to those mentioned for Level 1, include most of the following:

12.2.1   Evidence of ability to set up and develop new relationships and build external networks of contacts around the interests of the department.

12.2.2   Representing the department's activities with groups outside the department and the University.

12.2.3   Promote or lead change process through department and/or faculty committees.

12.2.4   Successful initiatives or innovations in administrative processes, or departmental responsibilities.

12.2.5   Discharging over a period of time either one significant responsibility in the department or a range of responsibilities.

12.2.6   Some contribution to University management, policy formulation and strategic development, through serving on University committees and/or residence administration.

12.2.7   Producing working papers on initiatives which the department might use to exploit strengths and/or avoid weaknesses.

12.3 University Service <u>Level 3</u>

Performance at Level 3 requires leadership activity and involvement in policy formulation not only within a department, but also at institutional level. Indicators, <u>in addition</u> to those mentioned for Level 2, include most of the following:

12.3.1   Taking a lead in steering the strategy of a department.

12.3.2   Involvement in cross-departmental projects at faculty and University levels.

12.3.3   Effectiveness in a management role at departmental or faculty level for at least one term of office (e.g., Head of Department).

12.3.4   Active and effective contribution to University management, policy formulation and strategic development, including serving on University committees.

12.3.5   Effective management of colleagues and facilitation of their academic and personal development.

12.4 University Service **Level 4**

Performance at Level 4 requires extensive leadership activity and regular involvement in policy formulation, institutionally and also nationally. Indicators, in addition to those mentioned for Level 3, include most of the following:

12.4.1   An established reputation and acknowledged expertise in the Institution and in professional associations.

12.4.2   Representing the University at a national level.

12.4.3   Requests from outside bodies to serve on administration/policy committees at national level.

12.4.4   Establishing and developing sustainable academic networks with other higher education and/or other institutions which bring benefits to the University.

12.4.5   Successful strategic leadership and promotion of significant change at departmental, faculty and institutional levels.

12.4.6   Exercise of management and leadership qualities at University level.

12.4.7   Contribution to setting up new initiatives.

SECTION B: PROCEDURES

13   GENERAL

13.1   The administration of the personal promotion process lies in the Human Resources Division, and the Executive Director: Human Resources has the responsibility to ensure that the provisions of this policy have been complied with.

13.2   Applications for personal promotion will be considered only after one year has elapsed since the applicant's appointment or promotion to his or her current position.

13.3   The University will normally not promote a member of staff by more than one rank at a time (e.g., Lecturer to Associate Professor).

13.4   The FTE allocations and financial positions of departments and faculties are irrelevant when assessing applicants for promotion.

14   THE FACULTY PROMOTIONS COMMITTEE (FPC)

14.1   The FPC shall comprise the following members:

14.1.1 The Dean of Faculty (Chairperson).

14.1.2 The Heads of Department in the Faculty.

14.1.3 One additional, preferably senior, member of each of the departments in the Faculty.

14.1.4 A Human Resources representative (in attendance).

14.2 Members of the FPC serve on the Committee in an institutional capacity and not as representatives of their departments and/or of applicants.

14.3 Members should at all times be mindful of the potential conflict of interest that could arise in considering promotion decisions and act with the necessary ethical decorum.

14.4 The deliberations of the FPC shall be strictly confidential and no information about the discussion or a recommendation may be disclosed except in accordance with this policy or with the FPC's mandate.

15   THE CAMPUS PROMOTIONS COMMITTEE (CPC)

15.1 Each Campus shall constitute a CPC which shall comprise the following members:

15.1.1 The Campus Rector (Chairperson).

15.1.2 All deans of faculty.

15.1.3 One additional representative per FPC, nominated by each FPC, who normally shall have the status of at least a Senior Lecturer.

15.1.4 Two (2) members of the Campus Senate, normally with at least the status of associate professor.

15.1.5 A Human Resources representative (in attendance)

15.1.6 One representative each of recognized unions, who shall have observer status only.

15.2 Members of the CPC serve on the Committee in an institutional capacity and not as representatives of any faculty and/or applicant.

15.3 Members should at all times be mindful of the potential conflict of interest that could arise in considering promotion decisions and act with the necessary ethical decorum.

15.4 Except where a member has to provide a report as a candidate's Head of Department and/or immediate supervisor, members of the CPC should not act as

referees or advisors to the CPC. Should a situation arise where a member of the CPC has provided a report, that member shall not participate in the Committee's deliberations, except when asked by the Chairperson to clarify a particular issue, and shall recuse him/herself when the decision regarding that matter is taken.

15.5 The deliberations of the CPC shall be strictly confidential and no information about the discussion or a recommendation may be disclosed except in accordance with this policy or with the CPC's mandate.

16   THE ACADEMIC PROMOTIONS COMMITTEE (APC)

16.1 The APC is an institutional body and shall comprise the following members:

16.1.1   The Deputy Vice-Chancellor, Academic Affairs and Research (Chairperson).

16.1.2   All Campus Rectors.

16.1.3   One additional representative per CPC, nominated by each CPC, who normally shall have the status of at least an associate professor.

16.1.4   Two (2) members of Senate with at least the status of associate professor (excluding Deans, Deputy Deans and Senate representatives on Council).

16.1.5   The Executive Director: Human Resources and one other staff member in the Division (in attendance).

16.1.6   One representative each of recognized unions, who shall have observer status only.

16.2 Should any person designated in clause 16.1 have participated in any preceding process or decision, that person shall not be eligible to serve on the APC and the Vice-Chancellor may designate any other member of Senate to serve on the Committee in that person's stead.

16.3 Members of the APC serve on the Committee in an institutional capacity and not as representatives of any faculty, campus and/or applicant.

16.4 Members should at all times be mindful of the potential conflict of interest that could arise in considering promotion decisions and act with the necessary ethical decorum.

16.5 Except where a member has to provide a report as a candidate's Head of Department and/or immediate supervisor, members of the APC should not act as referees or advisors to the APC. Should a situation arise where a member of the APC has provided a report, that member shall not participate in the Committee's deliberations, except when asked by the Chairperson to clarify a particular issue, and shall recuse him/herself when the decision in regarding that matter is taken.

16.6 The deliberations of the APC shall be strictly confidential and no information about the discussion or a decision may be disclosed except in accordance with this policy or with the APC's mandate.

17 THE ACADEMIC PROMOTIONS APPEALS COMMITTEE (APAC)

17.1 The APAC shall comprise the following members:

    17.1.1 The Vice-Chancellor and Principal (Chairperson).
    17.1.2 The representatives of Senate on Council.
    17.1.3 Two additional Senate representatives with the status of Professor (excluding members of the FPC, CPC and APC).
    17.1.4 The Executive Director: Human Resources (in attendance).
    17.1.5 One representative each of recognized unions, who shall have observer status only.

17.2 Members of the APAC serve on the Committee in an institutional capacity and not as representatives of any faculty, campus and/or applicant.

17.3 Members should at all times be mindful of the potential conflict of interest that could arise in considering promotion decisions and act with the necessary ethical decorum.

17.4 Except for those in attendance or with observer status, members of the APAC should not have acted as referees or participated in any of the promotions process in that specific year.

17.5 The deliberations of the APAC shall be strictly confidential and no information about the discussion or decision may be disclosed except in accordance with this policy or with the APAC's mandate.

18 TIMELINES

18.1 The Executive Director: Human Resources calls for applications in November of each year and repeats the call before 31 January of the following year.

18.2 Applications must be submitted by 31 March. Late applications, i.e., those for which complete documentation has not been submitted by this date, shall not normally be entertained.

18.3 Deans must convene FPC meetings before 30 April.

18.4 FPCs must complete their deliberations and submit their recommendations to the CPC by 31 May.

18.5 Campus Rectors must convene CPCs and CPCs must complete their deliberations and submit their recommendations to the APC by 30 June.

18.6 The Executive Director: Human Resources must convene the APC and the APC must complete its deliberations and submit its promotion recommendations to the Vice-Chancellor and Principal by 31 July.

18.7 The Executive Director: Human Resources notifies unsuccessful applicants by 31 July.

18.8 Any appeals relating to APC decisions must be lodged by 12 August.

18.9 In the event of appeals having been lodged, the Executive Director: Human Resources must convene the APAC in the first week of September.

18.10 The APAC process must be finalized in time for the September meeting of the Human Resources Committee of Council for noting.

18.11 The Executive Director: Human Resources formally notifies both successful and unsuccessful applicants in October.

18.12 A special process applies in respect of promotions from Junior Lecturer to Lecturer:

18.12.1 Such promotions may be considered at any time during the year.

18.12.2 The application shall serve before a special meeting of the CPC which must determine whether or not the minimum criteria as stipulated in this policy have been met, after which the CPC shall recommend appropriate action to the Vice-Chancellor and Principal.

18.12.3 The Vice-Chancellor and Principal shall consider the CPC's recommendation and makes the final decision to promote or not to promote.

18.12.4 A decision to promote a candidate takes effect from the first day of the month following the date upon which the Vice-Chancellor and Principal determines that the criteria have been met.

18.13 In the case of all other promotions, successful candidates may assume the rank and its associated title on 1 October, but any financial consequences take effect on 1 January of the year following the promotion decision.

19 CALLING FOR APPLICATIONS

19.1 During November each year, and again in January of the following year, the Executive Director: Human Resources shall advise all academic and research staff via an internal electronic staff notice that the promotions process has commenced and call for applications.

19.2 The circular shall advise staff of the applicable closing dates and the relevant website addresses where further information, including this policy, can be found, and must highlight the fact that late applications will not be accepted.

20 THE APPLICATION PROCESS

20.1 An applicant is responsible for assembling and presenting the evidence in support of the case for promotion indicating his/her contribution in the relevant categories since his/her appointment or previous promotion to the current post.

20.2 Prior to submission of the application, an applicant may consult with his/her Dean regarding the requirements of the policy and the nature of the application and evidence that need to be submitted. Such consultation shall not displace the onus resting on applicants to adhere to the requirements of this policy.

21 APPLICATION DOCUMENTATION

21.1 An applicant shall submit electronically in pdf format, via his or her Head of Department, the following documentation and/or information to the Executive Director: Human Resources:

21.2 A formal application on the appropriate form.

21.3 A motivation letter of not more than three (3) pages in which the candidate summarises the extent to which he/she has met the minimum criteria and the threshold scores required for promotion.

21.4 A professional portfolio of no more than fifteen (15) pages, which addresses specifically the criteria in the four key areas upon which promotion decisions are made. The application must highlight the two most significant indicators of professional achievement in each of the four areas of involvement. Supplementary material specifically related to the criteria could be included as appendices, but should be kept to the bare minimum.

21.5 An updated curriculum vitae of no more than six (6) pages, setting out educational qualifications, employment history and other significant achievements.

21.6 A list of publications set out under the following headings and indicating clearly which publications stem from research activity conducted in the past seven (7) years:[14]

    21.6.1 Books.
    21.6.2 Research publications in refereed journals.
    21.6.3 Other academic or education publications.
    21.6.4 Conference presentations.
    21.6.5 Creative work (e.g., creative writing, productions, exhibitions and recitals).

21.7 Community engagement and/or development service.

21.8 Scholarship in teaching (e.g., peer and student teaching evaluations, and curriculum development and initiatives).

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[14] Copies of the title pages (only) of each output published in the past seven (7) years should be attached to this list. Work that has been accepted for publication will be considered, on proof of acceptance. Outputs submitted but not yet accepted, and work in progress will not be considered.

21.9 The names and addresses of no more than two (2) referees, both of whom should be academics; and, except where promotion is sought from Junior Lecturer to Lecturer, at least one of whom shall be external to the University.

21.10 Candidates are advised to keep full duplicate copy of all their submissions, for reference purposes.

22 PROCEDURE FOLLOWED BY FACULTY PROMOTIONS COMMITTEES (FPCs)

22.1 On receipt of the application, the Executive Director: Human Resources shall request the relevant Dean:

22.1.1 To obtain from the applicant's immediate administrative head a confidential report of not more than three (3) pages commenting upon (a) the extent to which the applicant has met the minimum criteria and (b) the threshold scores required for promotion.

22.1.2 To obtain confidential reports from the applicant's nominated referees.

22.1.3 Where an applicant seeks promotion to the associate professor, professor or senior professor levels, to nominate two (2) appropriate external advisors, with the approval of the Chairperson of the APC, and to request the advisor to submit a confidential report to the APC, having provided the advisor with the full promotion documentation.

22.2 In April each year the Deans of Faculty shall convene a meeting of the relevant FPC to consider all applications for promotion in their faculties.

22.3 The FPC shall consider each application for personal promotion, having regard to the applicant's full promotion documentation, the immediate supervisor's confidential report, peer assessors' reports (if any) and referees' reports.[15] The applicant's teaching portfolio may also be considered, if one is submitted.

22.4 The FPC shall make a written recommendation to the CPC in respect of each candidate, supported by the committee's assessment of the candidate in respect of each in of the rating categories, with brief reasons for each rating.

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[15] This requirement may be waived in respect of referee reports that have been requested but not received.

22.5 The FPC may not decide, for whatever reason, to withdraw an application, or not to present a report to CPC, without the written consent of the applicant involved.

22.6 The process at faculty level must be completed by 31 May.

23 PROCEDURE FOLLOWED BY CAMPUS PROMOTIONS COMMITTEES (CPCs)

23.1 The CPC shall consider all applications that FPCs have processed at a meeting in June of each year.

23.2 Deans must ensure that all FPC documentation has been submitted to the CPC on time and late applications, i.e., those for which complete documentation has not been circulated with the agenda, shall not be entertained.

23.3 The CPC shall consider each application for personal promotion, having regard to the applicant's full promotion documentation, the immediate supervisor's confidential report, peer assessors' reports (if any), referees' reports[16] and the FPC's recommendation.

23.4 In considering applications for personal promotion, the CPC may:

23.4.1 Seek further information from the applicant, either orally or in writing.
23.4.2 Consult the applicant's immediate supervisors or any other staff member.
23.4.3 Seek the advice of an external advisor(s) competent in the applicant's field of study.
23.4.4 Request copies of publications and/or reviews.
23.4.5 Consider the reports of the external advisors for those applications for personal promotion to the ranks of associate professor and higher, if available.

23.5 The relevant Dean will present the FPC's recommendation to the CPC after which the faculty representatives may provide amplifying information. Thereafter they shall not participate in the debate until requested by the Chairperson to comment on the debate, immediately prior to the CPC deciding on its recommendation to the APC.

23.6 The CPC shall conclude its deliberations by 30 June of each year.

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[16] This requirement may be waived in respect of referee reports that have been requested but not received.

24 PROCEDURE FOLLOWED BY THE ACADEMIC PROMOTIONS COMMITTEE (APC)

24.1 The APC shall consider all CPC recommendations in July of each year.

24.2 Campus Rectors must ensure that all CPC documentation has been submitted to the APC on time and late applications, i.e., those for which complete documentation has not been circulated with the agenda, shall not be entertained.

24.3 The APC shall consider each application for personal promotion, having regard to the applicant's full promotion documentation, the immediate supervisor's confidential report, peer assessors' reports (if any), referees' reports[17] and the CPC's recommendation.

24.4 In considering applications for personal promotion, the APC may:

24.4.1 Seek further information from the applicant, either orally or in writing.
24.4.2 Consult the applicant's immediate supervisors or any other staff member.
24.4.3 Seek the advice of an external advisor(s) competent in the applicant's field of study.
24.4.4 Request copies of publications and/or reviews.

24.5 The APC shall consider the reports of the external advisors for those applications for personal promotion to the ranks of associate professor and higher and no decision may be made without having considered at least one such report.

24.6 The relevant Campus Rector will present the CPC's recommendation to the APC after which the faculty representatives may provide amplifying information. Thereafter they shall not participate in the debate until requested by the Chairperson to comment on the debate, immediately prior to the APC finalizing its decision.

24.7 The APC shall, after considering all additional representations, review all the CPC recommendations before making final decisions regarding specific promotions.

24.8 The APC shall conclude its deliberations by 31 July of each year.

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[17] This requirement may be waived in respect of referee reports that have been requested but not received.

24.9 The relevant Campus Rector shall inform applicants of the APC's decision, pending the Vice-Chancellor and Principal's confirmation, and advise unsuccessful applicants of their right to appeal and the process to be followed. Unsuccessful applicants may request an interview with the relevant Campus Rector, who shall advise them on what steps they should take to be considered for personal promotion in future.

25 APPEALS

25.1 Unsuccessful applicants may, within seven (7) days of receiving in writing, the APC's final recommendation and the reasons therefor, or 12 August, whichever is the later date, lodge an appeal in writing with the Executive Director: Human Resources.

26 PROCEDURE FOLLOWED BY THE ACADEMIC PROMOTIONS APPEALS COMMITTEE (APAC)

26.1 Once an appeal has been noted, the Executive Director: Human Resources shall place the letter of appeal, the documentation that served before the APC and documentation relevant to the APC's recommendation, on the APAC's agenda.

26.2 The APAC shall receive a report from the Chairperson of the APC regarding the APC's deliberations, the scores in respect of each promotion criteria category for each applicant and the minutes of the APC meetings.

26.3 The APAC shall consider all the documents that were presented to the APC, as well as any documentation relevant to the APC's recommendation, including the unsuccessful candidate's letter of appeal.

26.4 The APAC may confirm or reject the APC's decision not to promote a candidate.

26.5 The APAC shall consider an application afresh in the following circumstances:

26.5.1 Where the information before it indicates that processes stipulated in the policy might not have been followed.
26.5.2 Where the circumstances indicate that an irregularity might have occurred.

26.6 The APAC's recommendations to the Vice-Chancellor and Principal shall be final and not subject to further appeal.

26.7 The APAC shall conclude its deliberations in time for its decisions to be noted by the Human Resources Committee of Council (HRCC) in September.

26.8 The Executive Director: Human Resources shall refer all promotion recommendations by the APC and the APAC to the Vice-Chancellor and Principal for ratification and thereafter to the HRCC for noting.

26.9 The Executive Director: Human Resources shall notify applicants of the appeal outcome within seven (7) days of the relevant HRCC meeting.

27 THE DECISION-MAKING PROCESS

27.1 Each applicant must satisfy the relevant minimum appointment and promotion criteria and reflect in broad terms the benchmarking criteria outlined above.

27.2 All committees shall consider only the evidence and the reports placed before them and shall not take into account personal or anecdotal views and/or experiences.

27.3 All committees shall assess the evidence against the levels stipulated for each of the four promotion categories and assign a rating in respect of each of the categories.

27.4 Recommendations and decisions regarding promotion shall be made strictly according to the performance ratings assigned to applicants.

27.5 All recommendations and decisions should preferably be made by consensus.

27.6 Where consensus is not possible in the FPC, the reasons for disagreement must be recorded and the matter is then referred to the CPC.

27.7 All FPC recommendations (whether to promote or not to promote an applicant) must be forwarded to the CPC for consideration.

27.8 Where consensus is not possible in the CPC, the decision to recommend promotion must be made by a two-thirds majority of those present and voting by secret ballot.

27.9 All CPC recommendations (whether to promote or not to promote an applicant) must be forwarded to the APC for consideration.

27.10 Where consensus is not possible in the APC, the decision to recommend promotion must be made by a two-thirds majority of those present and voting, except where the applicant wishes to be promoted to the rank of Associate Professor or higher, in which event the decision must be unanimous.

27.11 Where an APC decision regarding promotion to the rank of Associate Professor or higher is not unanimous but is supported by two-thirds of those present and voting, the Executive Director: Human Resources shall request the Vice-Chancellor and Principal to appoint a Screening Committee.

27.12 The Vice-Chancellor shall determine the composition of the Screening Committee, after consulting the Chairperson of the APC and the Executive Director: Human Resources; provided that the Committee membership shall include an external advisor who is well-versed in the applicant's academic field.

27.13 Prior to making its recommendation the Screening Committee shall consider all the relevant documentation, including the application material and the relevant minutes of the various promotion committees, and also interview the applicant.

27.14 The recommendation of the APC together with that of any Screening Committee shall be presented to the APAC for decision.

27.15 All APC decisions not to recommend promotion shall be final; provided that an aggrieved applicant may appeal to the APAC.

27.16 All APC recommendations for promotion are referred to the Vice-Chancellor and Principal, who, on being satisfied that correct processes have been followed and that there are no apparent reasons to doubt the merits of the APC recommendation, shall approve the promotion.

27.17 Should the Vice-Chancellor and Principal doubt the merits of the APC recommendation and/or the process followed, the matter shall be referred to the APAC for consideration.

27.18 The APAC considers matters referred to it by the Vice-Chancellor and Principal, recommendations from Screening Committees and any representations, in terms of this policy, of aggrieved parties who have not been recommended for promotion (together with the decision and any supporting material from the APC).

27.19 Where consensus is not possible in the APAC, the decision to recommend promotion must be made by a two-thirds majority of those present and voting.

27.20 All APAC recommendations for promotion are referred to the Vice-Chancellor and Principal, who shall normally approve the promotion. Should the Vice-Chancellor and Principal doubt the merits of the APAC recommendation and/or the process followed, the matter shall be referred to the Human Resources Committee of Council for final determination.

27.21 The decision-making process at FPC, CPC and APC levels shall be transparent and subject only to the limitations imposed by the need for confidentiality when reports are solicited. Unsuccessful applicants may request information upon which decisions have been based. Such information will be supplied to the applicant provided that any confidential referee reports will not be released except with the permission of the writer of the report.

28   MERIT AWARDS

Subject to the University's policy for the award of meritorious service, the APC may recommend, instead of promotion, that an applicant be awarded a merit award either in the form of an increase in salary or a once-off bonus payment.

29   REMUNERATION DECISIONS

The Executive Director: Human Resources shall determine the appropriate remuneration level following a promotion, and finalise the remuneration in accordance with policy.

30   POLICY REVIEW

The Policy will be reviewed after three (3) years and/or at any time prior to that when a need arises.

ACKNOWLEDGEMENTS

This policy is based substantially on similar policies implemented at the University of Fort Hare and the University of Zululand. It has also been informed by its predecessor, the Appointments and Promotions Policy for Academic Staff and Academic Development of Support Staff (28 May 2008, revised 3 October 2014).