

Promotion: Professional Teaching Fellow and Senior Tutor

Purpose

This policy sets out the criteria and processes applied by the University in considering applications for promotion within the grade of Professional Teaching Fellow and Senior Tutor.

Policy

Promotion is based on merit and aims to recognise and reward high performing staff. Successful applicants will provide clear evidence that they have reached the standards required for the academic grade concerned. Assessment of teaching and service is based on assessment of the application form, curriculum vitae and reports from advisors, through a committee process which is designed to enable fair and consistent application of standards.

The grounds on which decisions are made in determining promotion to each grade are outlined in the *Academic Standards for Professional Teaching Fellows and Senior Tutors* HR Policy.

In applying the criteria for promotion, all FSCs are required to give full and careful consideration to the expectations specified in the particular terms under which individual staff are employed.

The procedures set out in this policy will be followed when considering applications for promotion, and when making recommendations and decisions on promotion applications.

The promotion of staff will not be affected by the relative financial standing of departments or faculties.

Audience

Professional Teaching Fellows
Senior Tutors
Academic Heads/Deans
Faculty Staffing Committees

Relevant Legislation

Employment Relations Act 2000
Human Rights Act 1993
Privacy Act 1993
State Sector Act 1988

Legal Compliance

Nothing in this document shall override any collective agreement (CA) or any individual employment agreement (IEA); where there is conflict in the wording, the CA and/or IEA shall prevail.

Procedures

Promotion round

There is only one promotion round in each year. The applicant must provide her/his application to the Head of Department by 15 August. The Dean, on the recommendation of the HOD, may or may not allow a special application for Promotion to proceed to the Faculty Staffing Committee (FSC) at other times of the year. The FSC will proceed to consider the application only where there are exceptional circumstances and where significant additional information has become available. The applicant may or may not have applied recently for promotion.

Equity in Promotion

The University is committed to the principle and practice of equity. Promotions processes are monitored and reports provided on equity, fairness and consistency of process.

Part Time and Fixed Term Staff

Part time staff and staff on fixed term appointments may apply for promotion. In the event that a staff member applies for promotion that would take effect after the end of the term of the contract, any consideration of the application shall not bind the University to provide employment beyond the term of the contract.

Application

The academic head should encourage all worthy candidates to apply for promotion. These discussions may occur during the *Academic Performance Review (APR)* process. It is the responsibility of the academic head to ensure that all staff are aware of the standards expected of staff for promotion, as outlined in the *Academic Standards for Professional Teaching Fellows and Senior Tutors HR Policy*.

Staff may apply for promotion after they have been employed and their performance evaluated for at least four teaching sessions (semesters, summer school, quarters) at the University of Auckland, and must demonstrate that they meet the key criteria for promotion to the grade sought. In applying the standards, the University will take account of achievements since appointment to the University of Auckland.

Each applicant is required to complete the application form for Professional Teaching Fellows and Senior Tutors (IEA)

Note: The applicant must ensure that the application form includes adequate information on teaching and service to support his/her application.

Where a staff member has serious concerns that the FSC may not be receiving appropriate advice to make a particular promotion decision, the staff member may write to the FSC through the Faculty Office to apprise the FSC of his/her concerns.

HoD Advisor

The applicant nominates one HOD Advisor. The HOD Advisor will be:
- capable of analysing the applicant's teaching

- able to offer rigorous, expert and impartial advice
- not an applicant for promotion in the same round (unless other Advisors are unavailable)
- not be a member of the FSC

The HoD Advisor shall analyse and evaluate the applicant's teaching and service on the basis of the application and their own observations and knowledge, and will report to the FSC on the *HoD Advisor Report* HR form through the academic head. The report is available to the applicant (refer to Disclosure of Reports to Applicant below).

Academic Head advice to FSC

The academic head will forward all applications to the FSC irrespective of whether or not the academic head is supportive of a particular promotion.

The academic head will provide to the FSC a completed *HOD Report Form* which:

- compares the staff member's application with the required standards for promotion
- appends the HOD Advisor report
- lists any other person consulted.

Faculty Staffing Committee

An FSC will be constituted in accordance with the *Faculty Staffing Committee HR Policy*. The FSC will include an external faculty representative to assist with consistency in University-wide decision making. The FSC will be chaired by the Dean. The specific approval of the Vice-Chancellor is required to delegate this responsibility.

Prior to considering any promotion applications, the FSC should discuss the interpretation of the *Academic Standards for Professional Teaching Fellows HR policy* in the context of the disciplines of the faculty.

The FSC will consider, in strict confidence (with each FSC member having a copy available):

- the application, including CV and teaching portfolio
- the HOD/HOS report
- the HOD/HOS Advisor reports
- any ranking information from the academic head

The FSC may seek such additional information as it sees fit. The FSC will not consider hearsay information.

The academic head may discuss her/his report with the FSC on the request of the head or FSC. The head must retire from the meeting prior to the FSC deciding on its recommendation/decision.

If the FSC is on the point of reaching a decision that is not in accord with the recommendation of the academic head, then the FSC may consult the head.

Conflicts of Interest

The University's Conflict of Interest Policy must guide Committees when considering applications for promotion.

An applicant must not serve as a member of an FSC during promotion considerations.

Any conflict of interest between an applicant and a member of an FSC must be disclosed at the beginning of the meeting. The Chair will determine whether the conflict is such that the conflicted member should

- leave the room during the discussion and recommendation
- remain in the room but not take part in the discussion and recommendation
- remain in the room and answer questions but not take part in the discussion and recommendation

If the chair determines that no conflict of interest exists, the member may participate fully in the discussion and recommendation.

Examples of conflict of interest are:

- The applicant reports to the member of the FSC. This would require the member to leave the room.
- The member has been an HoD adviser for the applicant. This would require the member to leave the room.
- The applicant is a relative, close friend or close collaborator. This would require the member to leave the room.

The Dean must delegate her/his role as Chair or member of the FSC during the consideration of any applicant for whom the Dean has carried out the functions of an academic head in the last two years. This provision does not apply to a faculty that is comprised of a single department.

Advice of the FSC

The FSC will recommend promotion, or recommend that promotion be declined, to the Dean.

The recommendation of the FSC will be based on consideration of the grounds outlined in the *Academic Standards for Professional Teaching Fellows* HR Policy.

The FSC will determine if there are issues that should be brought to the attention of the Academic Head.

The Dean

The Dean will consider the recommendation of the FSC. If the Dean's view is contrary to the FSC's view, the Dean will discuss the matter with the FSC further prior to making a decision.

The Dean then will approve or decline to approve promotion.

Brief reasons for the decision of the Dean are to be recorded on the *FSC/Dean Decisions – Academic Promotions* form and forwarded by the Dean to the Director of Human Resources.

The Dean will write a letter to each applicant and provide these letters to the Director of HR. Each letter will include an invitation to discuss the decision (whether approved or declined) with the Dean as Chair of the FSC, or other person, to assist with guiding the applicant's career. HR will ensure there is a letter ready for mailing to each applicant.

The faculty office will hold the promotion application file for at least two years, after which it may be destroyed. The applicant may request the return of material provided for the application.

Joint Appointments

Where a staff member holds a joint appointment between two departments, the advice of both academic heads will be considered. There will be two *HOD Reports* for the FSC.

Where the departments are in different faculties, the Deans will consult with the staff member and determine which FSC will consider the application for promotion. The FSC shall be advised by two nominees from the FSC of the other faculty during consideration of that application.

Academics who are not in faculties or large scale research institutes

The Deputy Vice-Chancellor (Academic) (DVC(A)) shall take the role of Dean. The DVC(A) will form an Ad-hoc Staffing Committee comprising the DVC(A) as Chair, and three members of FSCs to be identified by the DVC(A).

Disclosure of Reports to Applicant

The *HOD Report* and/or *HoD Advisor Report* may be disclosed to the staff member on request after 10 December. These reports are to be used only for the promotion assessment purpose intended, and are to remain confidential to the applicant and her/his employment advisor. The applicant may not approach a DSAC Advisor in relation to her/his report.

Any ranking of the staff member will not be disclosed as this affects the privacy of other persons.

Appeal

There is a right of appeal against non-promotion on the grounds of a failure in procedure that is so substantial that it may have affected the decision. There is no right of appeal against non-promotion on the grounds of the judgement of the University.

Where a staff member has concerns about procedure, she/he should discuss these first with the Academic Head. If the staff member remains concerned about procedure, she/he should then discuss this with the Faculty Dean.

If after discussing the procedure with the Dean, the staff member considers that she/he has grounds for appeal under this clause, she/he may lodge a written appeal through the Faculty Dean to the Vice-Chancellor, providing such appeal is lodged within 90 days of the advice of the non-promotion decision.

The Faculty Dean will take such steps as the Dean considers appropriate to resolve the concerns of the staff member.

Where the concerns are not resolved, the Dean will forward the appeal with a report to the Vice-Chancellor on the issues raised by the staff member.

The Vice-Chancellor may appoint a two or three person committee of senior academic staff to advise the Vice-Chancellor. The committee will discuss the appeal with the staff member (and employee representative, if any).

The committee then will consult with the Vice-Chancellor, after which it will decide the appeal. The committee will provide the decision and brief reasons for the decision to the staff member.

The decision will be final.

Related Documents

Academic Staff Collective Agreement or Individual Employment Agreement as applicable
Academic Standards for Professional Teaching Fellows and Senior Tutors
Academic Performance Review (APR) Policy
Conflict of Interest Policy
Continuation Policy
Faculty Staffing Committee Policy
Impartial Decision Making Policy
Equity Policy
Merit Relative to Opportunity Policy

HoD Advisor Report
FSC/Dean Decisions – Academic Promotions
HOD Report

Prepared by: Associate Director, HR Advisory

Authorised by: Vice-Chancellor

Date Issued: 1 June 2014

Review Date: February 2015

Timeline

June	HR Manager	Advises staff of promotion round
June	Chair of FSC/HRM	Seeks interest in faculty workshop on <i>How to Apply for Promotion to PTF (2-4)</i>
July - 14 Aug	Staff member	Prepares <i>application</i>
By 15 Aug	Staff member	Forwards completed <i>application</i> to academic head
20 Aug	Academic Head	Forwards to the faculty HR copy of first page of <i>application</i> form
15 Aug - 15 Sept	Academic Head	Notifies <i>HoD Advisor</i> , Completes <i>HOD Report</i> form
16 Sept	Academic Head	Forwards <i>application, CV, Academic Head and HoD Advisor Reports</i> to Faculty Office
By 30 Sept	Faculty Office Central HR	Checks <i>application, HOD and HoD Advisor Reports</i> complete and forwards to Central HR Provides each member of the FSC with: - a copy of <i>application, HOD Report, and HoD Advisor Reports</i> - <i>Standards for PTFs HR policy</i> - the <i>FSC/Dean Decisions</i>
1 – 20 Oct	Chair of FSC	Convenes FSC to consider all applicants for promotion to PTF 2-4 Governs meeting protocols to ensure application of : - this policy - <i>Faculty Staffing Committees HR policy</i> - <i>Standards for Promotion to PTF HR policy</i> - <i>Impartial Decision Making HR policy</i>
By 30 Oct	Dean	Provides HR with: - completed <i>FSC Decisions</i> - letters for each applicant considered by the FSC
By 5 December	HR Manager	Ensures each applicant has a letter
10 December	HR Manager	Mails out letters to all applicants, with a copy to the academic head and personal file
17-24 December	HR Manager	Publishes promotions outcomes in <i>The University News</i>
1 February		Academic promotions take effect