

# Academic Standards for Research Fellows, Senior Research Fellows, Lecturers, Senior Lecturers, Associate Professors and Professors

**The University of Auckland – HR Policy**

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# Academic Standards for Research Fellows, Senior Research Fellows, Lecturers, Senior Lecturers, Associate Professors and Professors

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## Purpose

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This document outlines standards for academic grades as referred to in various HR policies covering academic staff with the exception of Professional Teaching Fellows and Senior Tutors: including Appointments, Continuation, Promotions, and Academic Performance Review policies.

Judgments on permanent appointment, continuation and promotion are made by committees of academic peers through a process designed to enable fair and consistent application of standards and shall reflect expectations appropriate to the particular terms of employment of the individual.

Promotion of academic staff recognises and rewards sustained excellence. Through its promotions process, the University seeks to evaluate past performance and predict future contributions. Academic standards are expressed in both qualitative and quantitative terms. Peer review is particularly important in assessing the quality and impact of teaching and research contributions by staff.

In applying the criteria for appointment, continuation, promotion, or academic performance review purposes, the respective committees are required to give full and careful consideration to the expectations specified in the particular terms on which individual staff members are employed. These terms will be derived from the contracts of employment and job descriptions.

This document is intended to ensure that all staff members have an understanding of the standards they are expected to meet in order to plan and advance their careers. In addition, the standards provide clarity to staff and committees evaluating colleagues in terms of appointment, continuation, promotion and academic performance review.

## Key Considerations

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The standards described in this document:

- Are expressed on a “career to date” basis at key promotion points in the academic career or when appointments are made or continuation confirmed.
- Must be considered holistically (i.e. consideration of overall performance within and across the three areas rather than as absolute individual standards) and in the context of the candidate’s job description
- Must be interpreted in a way that takes account of the quality and impact of contributions. The quantitative standards outlined here are a guide to the level of output expected *given* appropriate quality considerations; such considerations are fundamental to the assessment of any candidate’s achievement. For example, publications in high impact journals or which have demonstrably impacted on the field (e.g. as judged by citations, impact on practice or policy) may receive greater weight. Committees of peers have a key role in assessing quality and impact.
- Must be consistent with the qualitative and quantitative norms that apply for their discipline in peer universities, and be applied using evaluative judgment of peers in the relevant academic discipline
- Must reflect the diversity of academic roles, responsibilities and contributions within their academic unit and to the University;
- Must reflect the University's statutory obligations under the Education Act 1989 in relation to research-informed teaching, academic freedom and the critic and conscience of society;
- Must address the University's equity and Treaty of Waitangi obligations;
- Must recognise the public good responsibilities of academics, relevant to their discipline; and
- Must not include individual performance in the PBRF.

Those assessing applications for continuation and promotion over the next few years will need to take account of the fact that applicants will only recently have had the benefit of these standards, which are more explicit than those applied previously

# General Principles

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## Appointment and continuation

To be **appointed to or continued in** an academic grade, the staff member must, on objective evidence, demonstrate achievement or ability of a kind appropriate to the grade to which they are seeking appointment or continuation.

In the case of entry level appointments (e.g. Lecturer 1, Research Fellow 1), the applicant must demonstrate the potential to meet the standards specified.

## Advancement between steps and movement within ranges

To receive **advancement between steps in a grade** or **movement within ranges** (where applicable) the staff member must demonstrate evidence of sustained performance appropriate to his/her current grade.

## Promotion

Promotion of academic staff is designed to recognise and reward sustained performance. To be **promoted**, staff members must, on objective evidence, be able to perform at an advanced level at their current grade and demonstrate achievement or ability of a kind appropriate to the grade to which they are seeking promotion.

## *Eligibility*

Candidates whose case for promotion rests in part on teaching must have been employed and their performance evaluated for at least four teaching sessions (semesters, summer school, quarters) at the University of Auckland before being eligible for consideration for promotion. This specification relates to the range and duration of teaching activities necessary to demonstrate sustained performance, not to the duration of employment. Other candidates must have been employed for at least 12 months before being eligible for consideration for promotion

## Strategic Context

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The University's Academic Standards are aligned to The University of Auckland Strategic Plan 2013-2020<sup>1</sup>. That Plan may be paraphrased in relation to the three broad areas of contribution as follows:

In **Teaching**, the University seeks to: maintain the student body at about its current size; attract a diverse student body of the highest possible academic potential; increase the proportion of taught and research postgraduates and of international students; significantly enhance numbers of masters and doctoral completions; and create a high quality learning environment and extracurricular experience that maximise the opportunity for all our students to succeed.

In **Research and Creative Work**, the University seeks: a growing output of excellent research across all our disciplines; dissemination of high quality research that has the greatest possible impact on and value for New Zealand and the world; and a substantial increase in external research income to support our diverse research activities.

In other aspects of its strategy, which for this purpose are grouped under **Service and Leadership**, the University seeks to: enhance its international activities and reputation; fulfil its responsibilities under the Treaty of Waitangi/Te Tiriti o Waitangi; develop effective partnerships with its communities, alumni and friends; create and retain a body of accomplished and well supported staff; create an environment that promotes achievement of equity goals ; advance its role as critic and conscience of society; and manage the University in a way that diversifies its revenues, enhances its infrastructure, supports its activities and safeguards its long-term viability and autonomy. It sees leadership in all its activities and all levels in the University as being critical to this process.

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<sup>1</sup> <http://www.auckland.ac.nz/uoa/lang/en/home/about/the-university/official-publications/draft-strategic-plan-2013-2020>

## Academic Standards

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The standards which follow are expressed as “career to date” standards. In assessing performance of senior staff against these standards, emphasis should be placed on recent achievements but not to the exclusion of earlier performance. For promotion, evidence will be required of effective engagement with teaching, research, supervisory and service responsibilities at the University of Auckland, relative to the length of employment at this institution.

The standards are to be considered holistically: thus performance above expectations in one area may be considered to compensate for lesser performance in another, provided that performance in each area is considered to be satisfactory (in both the extent and quality of the contribution) and that there is evidence of on-going progress and sustained achievements. Holistic judgment of performance should be the basis for all assessments, not a second step to rethink the decision on an application. Particular standards are to be seen as indicative thresholds, not as rigid barriers. Standards and performance against them must be considered in the context of the discipline so, for example, in disciplines in which opportunities to win external funding are limited, or in which the need for such funding is minimal, candidates’ overall achievements will be assessed in light of these considerations. Nevertheless, those who are successful in gaining funding within such contexts can expect to have their accomplishments recognised.

Standards are defined in general terms for Lecturers and Research Fellows, but in more detail for the four key career points at which significant promotion decisions are made: Senior Lecturer 1 and Senior Research Fellow 1, Senior Lecturer 6 and Senior Research Fellow 6 (over the bar), Associate Professor and Professor.

It should be noted that Research Fellows and Senior Research Fellows are employed to plan, supervise and conduct research but that staff in the grades of Research Fellow and Senior Research Fellow may be required to undertake teaching and supervision of graduate students within their own research specialism.

Thus while teaching may not be required of all staff in these grades, it is referred to below, while also noting that committees are required to give consideration to the expectations specified in the particular terms on which individual staff members are employed. Standards for teaching described below apply to situations in which a substantive contribution to teaching is provided for in the employment agreement of the staff member. As they progress through their careers Research Fellows and Senior Research Fellows are expected to develop independent research programmes and show evidence of leadership in research.

Normally there are three broad areas of contribution which are considered in assessments for appointment, continuation, promotion or academic performance reviews. Each will be evaluated to the extent that the particular area of contribution is consistent with the terms on which a staff member is employed.

The three broad areas are:

- Contributions to teaching (experience and achievement in teaching), learning and supervision (“Teaching”). Processes for the evaluation of Teaching are described in Appendix 1.
- Contributions to research and/or scholarship and/or artistic activity, creative work or professional activity. (“Research and Creative Work”). These terms are defined in Section 6 of the “Research Guide for Academic Staff”.

- Contributions to the University (including to the academic unit or faculty) in institutional planning, governance, leadership and operations and/or to the discipline, the profession and the community in the candidate's fields of expertise ("Service and Leadership")

In the case of the Faculty of Medical and Health Sciences, contributions to contractual clinical practice will form a fourth broad area relevant only to those individuals whose contract requires them to carry out clinical service with an external health care provider.

Note that 'Leadership', as used throughout the document, refers to the concept as described in the Leadership Framework (see below). Key features of leadership, as used here, include the understanding that all staff may play a leadership role within their working environments and that the University wishes to foster a culture of distributed leadership and recognise accomplishments in this area accordingly.

### ***Disciplinary Groupings***

With respect to supervision and research, which involve quite different practices in the various disciplines across the University, standards are categorised into three broad disciplinary groupings: Natural Sciences; Social Sciences; and Humanities. Applicants for promotion, continuation or appointment are required to specify which set of standards logically apply to their work, given its particular characteristics, and why.

### **Natural Sciences**

The Natural Sciences standards are framed by reference to disciplines where team research is common. Staff will often be members of teams in the early stages of their careers but take greater responsibility for leading their own teams as their careers progress. Opportunities to supervise honours projects, masters theses and doctoral theses are extensive, as either a main or co-supervisor. Opportunities to compete for external funding are also more extensive than for Humanities and Social Sciences disciplines, and such funding may provide increased scope for supporting research students, early career researchers such as postdoctoral fellows and technical staff. Research outputs typically take the form of articles in scholarly journals and, to a lesser extent books, book chapters and (in some fields) refereed conference papers. These characteristics of natural sciences research are reflected in publishing output standards for this disciplinary grouping. Patents and commercialisation of research are also more common in this grouping and will be seen to add value to a case for promotion, continuation or appointment.

The Natural Sciences standards will apply most generally to members of staff working in such disciplines as the biomedical, biological, chemical and physical sciences, clinical academics and engineering and public health.

### **Social Sciences**

The Social Sciences standards are framed by reference to disciplines where opportunities to supervise honours projects, and masters theses, dissertations and research portfolios are extensive but those for undertaking doctoral supervision are more limited. Staff members are typically the sole supervisors of honours and masters research projects and either main or co-supervisors of doctoral theses. In some areas of social science opportunities for competing for external funding are more extensive than for Humanities disciplines and such funding may provide increased scope for supporting research students. Research outputs typically take the form of articles in scholarly journals and, to a lesser extent books and book-length reports and book chapters. Team research is far

more common in Social Science than in the Humanities and the ratio of sole-authored to co-authored publications is often reversed. This characteristic of social science publishing is reflected in publishing output standards for this disciplinary grouping.

The Social Sciences standards will apply most generally to members of staff working in such disciplines as anthropology, economics, education, political studies, social psychology, sociology and social work. They will also be the appropriate criteria to be addressed by some of those working in other disciplines, including environmental studies, management, marketing and population health.

## **Humanities**

The Humanities standards are framed by reference to disciplines where opportunities to supervise honours projects, and masters theses, dissertations and research portfolios are greater than for doctoral supervision. Staff members are typically the sole supervisors of honours and masters research projects and either main or co-supervisors of doctoral theses. Opportunities to secure significant external funding in support of work undertaken in humanities disciplines are more limited than in the other disciplinary groupings. This has an impact on staff members' capacity to support doctoral students. Research outputs typically take the form of books, scholarly editions, journal articles and book chapters or, in the creative arts disciplines, an equivalent range of significant creative works appropriate to their field. Humanities research tends to be undertaken by individuals rather than teams and to give rise to publication profiles marked by the predominance of sole-authored works.

The Humanities standards will apply most generally to members of staff working in such disciplines as classics, cultural studies, film, history, languages and literature, philosophy, law and the creative arts. They will also be the appropriate criteria to be addressed by some of those working in other disciplines, including architecture and education.

## **Explanatory Notes:**

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In the standards which follow:

- Co-supervision of students is common in many disciplines and is valuable for both staff and students. Up to half of the supervisions listed by a candidate may be undertaken on a co-supervisory basis. Applicants will be asked to specify their level of supervisory engagement as part of their application.
- Typical numbers of honours, masters and doctoral supervisions expected are specified. In some disciplines opportunity to supervise at particular levels will be rarer than in others and, in such cases (determined by the judgement of peers), variation in the types of supervision completed will be taken into account when evaluating supervisory contributions. However, it is expected that staff, particularly at senior levels, will have supervised and/or co-supervised doctoral candidates.
- Publications outputs are expressed as "peer-reviewed journal articles/book chapters/creative works or equivalent" where an authored book is assumed equivalent to about five journal articles/book chapters. In this context, 'book' means a sole-authored monograph; multi-authored works or edited volumes will be judged on a 'pro-rated' basis according to contribution. Recognition of outputs such as scholarly editions and creative works will depend on their scope and scholarly and/or artistic merit.
- Internal grants must be competitive grants awarded at faculty or university level
- The category "research grants and contracts or other type of external funding " may include those awarded by philanthropic individuals or agencies as well by application to competitive granting processes. Wherever possible, such grants, contracts or external funding should include full overheads to assist the University in meeting its overhead costs.
- A major research grant or contract is defined as one with a total value of at least \$100,000.
- A prestigious research grant is one awarded by national research funding agencies such as Marsden, Health Research Council, Ministry of Business, Innovation and Employment , National Institutes of Health (USA), National Science Foundation (USA), European Seventh framework Programme (FP7) or equivalent

Applicants' merit relative to opportunity will be taken into account when considering their application as per the University's Merit Relative to Opportunity Policy.

# Leadership Framework

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## Overview

In a people-focused institution like the University, the performance and engagement of staff is an important factor in its success. The University has identified the need to increase its leadership capability across all academic and professional staff as an essential element to achieving its aspirations and strategic objectives.

Leadership is not just a position or title - all staff play a leadership role and are expected to demonstrate leadership behaviours in the conduct of their work. The Leadership Framework reflects and encourages a culture of distributed leadership.

The University of Auckland's five leadership dimensions and associated capabilities identify the behaviours that help ensure excellence in teaching, research, service and administration for all staff. The Leadership Dimensions are:

- Exhibiting Personal Leadership
- Setting Direction
- Innovating and Engaging
- Enabling People
- Achieving Results

The Leadership Framework provides clarity and a shared vision of what leadership looks like at The University of Auckland, whether in formal or informal leadership and management roles.

The leadership framework will give purpose and focus to the enhancement of leadership for all staff across the University.

## Using the Leadership Framework

How the leadership behaviours are demonstrated at the individual level depends on the role and context in which each person operates.

The framework is designed to act as a reference for demonstrating our leadership behaviours and effectiveness. It will act as a guide for leadership development both at a personal level and when shaping the development of others.

## Standards for Natural Sciences

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### Research Fellow (Natural Sciences)

Research Fellows are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in, research and creative work, service and leadership, and teaching. They are also expected to meet the University definition of “Active in research” (Appendix 2). As their careers progress, Research Fellows are expected to develop their capabilities in research/creative work and (where appropriate) in teaching and supervision (that is intellectually challenging, and well-informed by up-to-date research), taking advantage of professional learning and mentoring opportunities that are available to them. As a result, their performance, both in quality and in quantity, is expected to increase as they advance through the period of their position as Research Fellow towards promotion to Senior Research Fellow. They are expected to show evidence of service and leadership (as defined above), primarily at the level of the Department, and at a local (as distinct from a national or international) level (consistent with the Leadership Framework)

### Senior Research Fellow 1 (Natural Sciences)

At Senior Research Fellow 1, staff members are expected to:

#### ***Research and Creative Work***

- Have demonstrated leadership in research development and mentoring
- Have typically published 22 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated \$50,000 in external research grants and contracts (not necessarily as principal investigator)

#### ***Teaching***

- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding.
- Have engaged in advising and mentoring students
- Have typically (taking into account the supervisory opportunities in the discipline and in the unit in which they are employed), supervised to successful completion two Honours and two Masters candidates or one doctoral candidate.
- Be typically supervising two doctoral candidates

#### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a local and increasingly national level.

## **Senior Research Fellow (over the bar) (Natural Sciences)**

At Senior Research Fellow (over the bar), staff members are expected to:

### ***Research and Creative Work***

- Have demonstrated leadership in research development and mentoring
- Have typically published 45 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically secured, preferably as principal investigator, two major external grants or contracts

### ***Teaching***

- Have carried out successful course or programme direction
- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have typically (taking into account the supervisory opportunities in the discipline and in the unit in which they are employed), supervised to successful completion two Honours, four Masters and two doctoral candidates.

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a national and increasingly international level.

## **Lecturer (Natural Sciences)**

Lecturers are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in teaching, research and creative work, and service and leadership. They are also expected to meet the University definition of "Active in research" (Appendix 2). As their careers progress, Lecturers are expected to develop their capabilities in teaching and supervision (that is intellectually challenging, and well-informed by up-to-date research) and in research/creative work, taking advantage of professional learning and mentoring opportunities that are available to them. As a result, their performance, both in quality and in quantity, is expected to increase as they advance through the period of their lectureship towards promotion to Senior Lecturer. They are expected to show evidence of service and leadership (as defined above), primarily at the level of the Department, and at a local (as distinct from a national or international) level (consistent with the Leadership Framework)

## **Senior Lecturer 1 (Natural Sciences)**

At Senior Lecturer 1, staff members are expected to:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding.
- Have engaged in advising and mentoring students
- Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion two Honours and two Masters candidates or one doctoral candidate.
- Be typically supervising two doctoral candidates

### ***Research and Creative Work***

- Have typically published 15 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated \$50,000 in external research grants and contracts (not necessarily as principal investigator)

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a local and increasingly national level.

## **Senior Lecturer 6 (Natural Sciences)**

At Senior Lecturer 6, staff members are expected to:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have carried out successful course or programme direction
- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion two Honours, four Masters and two doctoral candidates.

### ***Research and Creative Work***

- Have typically published 30 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact

- Have typically secured, preferably as principal investigator, two major external grants or contracts

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a national and increasingly international level.

## **Associate Professor (Natural Sciences)**

At Associate Professor, staff members are expected to:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have led successful academic programme initiatives that have demonstrably enhanced the quality and delivery of courses and/or programmes at the University
- Have demonstrated teaching and supervision that is intellectually challenging, shows confident control of relevant research-informed content, and systematically uses evidence from students to modify teaching to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have engaged in mentoring early career teachers
- Be recognised as a leader in teaching and learning either through publications or presentations to professional conferences or workshops, or through mentoring of other staff
- Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion four Honours, eight Masters and six doctoral candidates.

### ***Research and Creative Work***

- Have typically published 45 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically secured four major grants or contracts, at least two as principal investigator
- Have typically secured as principal investigator one major prestigious grant
- Have engaged in mentoring early career researchers

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, at the level of the Department, Faculty and University, and

- Externally, at a national and international level

## **Professor (Natural Sciences)**

At Professor, staff members are expected to show evidence of international eminence in their field and:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have led successful academic programme initiatives that have demonstrably enhanced the quality and delivery of courses and/or programmes at the University
- Have demonstrated teaching and supervision that is intellectually challenging, shows confident control of relevant research-informed content, and systematically uses evidence from students to modify teaching to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have engaged in mentoring early career teachers
- Be recognised as a leader in teaching and learning through publications, presentations to professional conferences or workshops, or mentoring of other staff
- Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion six Honours, fifteen Masters and twelve doctoral candidates.

### ***Research and Creative Work***

- Have typically published 80 peer-reviewed journal articles/book chapters/creative works or equivalent and demonstrated that their work is of international significance in the field
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically secured eight major grants or contracts, at least four as principal investigator
- Have typically secured as principal investigator two major prestigious grants
- Have engaged in mentoring early career researchers

### ***Service and Leadership***

- Show evidence of outstanding service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, at the level of the Department, Faculty and University, and
  - Externally at a national and international level.

## **Standards for Social Sciences**

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### **Research Fellow (Social Sciences)**

Research Fellows are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in research and creative work, service and leadership, and teaching. They are also expected to meet the University definition of “Active in research” (Appendix 2). As their careers progress, Research Fellows are expected to develop their capabilities in research/creative work and (where appropriate) teaching and supervision (that is intellectually challenging, and well-informed by up-to-date research), taking advantage of professional learning and mentoring opportunities that are available to them. As a result, their performance, both in quality and in quantity, is expected to increase as they advance through the period of their position as Research Fellow towards promotion to Senior Research Fellow. They are expected to show evidence of service and leadership (as defined above), primarily at the level of the Department, and at a local (as distinct from a national or international) level (consistent with the Leadership Framework)

### **Senior Research Fellow 1 (Social Sciences)**

At Senior Research Fellow 1, staff members are expected to:

#### ***Research and Creative Work***

- Have demonstrated leadership in research development and mentoring
- Have typically published 18 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated two (preferably) external research grants or contracts or internal research grants.

#### ***Teaching***

- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding.
- Have engaged in advising and mentoring students
- Have typically (taking into account the supervisory opportunities in the discipline and in the unit in which they are employed), supervised to successful completion two Honours and two Masters candidates.
- Be typically supervising two doctoral candidates

#### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a local and increasingly national level

## **Senior Research Fellow (over the bar) (Social Sciences)**

At Senior Research Fellow (over the bar), staff members are expected to:

### ***Research and Creative Work***

- Have demonstrated leadership in research development and mentoring
- Have typically published 35 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated three research grants or contracts (at least one external)

### ***Teaching***

- Have carried out successful course or programme direction
- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have typically (taking into account the supervisory opportunities in the discipline and in the unit in which they are employed), supervised to successful completion three Honours, four Masters and three doctoral candidates.

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a national and increasingly international level

## **Lecturer (Social Sciences)**

Lecturers are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in teaching, research and creative work, and service and leadership. They are also expected to meet the University definition of "Active in research" (Appendix 2). As their careers progress, Lecturers are expected to develop their capabilities in teaching and supervision (that is intellectually challenging, and well-informed by up-to-date research) and in research/creative work, taking advantage of professional learning and mentoring opportunities that are available to them.

As a result, their performance, both in quality and in quantity, is expected to increase as they advance through the period of their lectureship towards promotion to Senior Lecturer. They are expected to show evidence of service and leadership (as defined above), primarily at the level of the Department, and at a local (as distinct from a national or international) level (consistent with the Leadership Framework)

## **Senior Lecturer 1 (Social Sciences)**

At Senior Lecturer 1, staff members are expected to:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding.
- Have engaged in advising and mentoring students
- Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion two Honours and two Masters candidates.
- Be typically supervising two doctoral candidates

### ***Research and Creative Work***

- Have typically published 12 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated two (preferably) external research grants or contracts or internal research grants.

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a local and increasingly national level

## **Senior Lecturer 6 (Social Sciences)**

At Senior Lecturer 6, staff members are expected to:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have carried out successful course or programme direction
- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding and engagement.
- Have engaged in advising and mentoring students

Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion three Honours, four Masters and three doctoral candidates.

### ***Research and Creative Work***

- Have typically published 25 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated three research grants or contracts (at least one external)

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a national and increasingly international level.

### **Associate Professor (Social Sciences)**

At Associate Professor, staff members are expected to:

#### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have led successful academic programme initiatives that have demonstrably enhanced the quality and delivery of courses and/or programmes at the University
- Have demonstrated teaching and supervision that is intellectually challenging, shows confident control of relevant research-informed content, and systematically uses evidence from students to modify teaching to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have engaged in mentoring early career teachers
- Be recognised as a leader in teaching and learning through publications, presentations to professional conferences or workshops, or mentoring of other staff
- Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion four Honours, six Masters and five doctoral candidates.

#### ***Research and Creative Work***

- Have typically published 35 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated four research grants or contracts of which two are external
- Have engaged in mentoring early career researchers

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, at the level of the Department, Faculty and University, and
  - Externally, at a national and international level

## **Professor (Social Sciences)**

At Professor, staff members are expected to show evidence of international eminence in their field and:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have led successful academic programme initiatives that have demonstrably enhanced the quality and delivery of courses and/or programmes at the University
- Have demonstrated teaching and supervision that is intellectually challenging, shows confident control of relevant research-informed content, and systematically uses evidence from students to modify teaching to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have engaged in mentoring early career teachers
- Be recognised as a leader in teaching and learning through publications, presentations to professional conferences or workshops, or mentoring of other staff
- Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion six Honours, eight Masters and eight doctoral candidates.

### ***Research and Creative Work***

- Have typically published 50 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated three major external research grants or contracts
- Have engaged in mentoring early career researchers

### ***Service and Leadership***

- Show evidence of outstanding service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, at the level of the Department, Faculty and University, and
  - Externally, at a national and international level

## **Standards for Humanities**

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### **Research Fellow (Humanities)**

Research Fellows are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in research and creative work, service and leadership, and teaching. They are also expected to meet the University definition of “Active in research” (Appendix 2). As their careers progress, Research Fellows are expected to develop their capabilities in research/creative work, and (where appropriate) in teaching and supervision (that is intellectually challenging, and well-informed by up-to-date research), taking advantage of professional learning and mentoring opportunities that are available to them. As a result, their performance, both in quality and in quantity, is expected to increase as they advance through the period of their position as Research Fellow towards promotion to Senior Research fellow. They are expected to show evidence of service and leadership (as defined above), primarily at the level of the Department, and at a local (as distinct from a national or international) level (consistent with the Leadership Framework)

### **Senior Research Fellow 1 (Humanities)**

At Senior Research Fellow 1, staff members are expected to:

#### ***Research and Creative Work***

- Have demonstrated leadership in research development and mentoring
- Have typically published at least 8 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated one (preferably) external research grant or contract or other type of external funding or internal research grant.

#### ***Teaching***

- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding.
- Have engaged in advising and mentoring students
- Have typically supervised to successful completion two Honours and two Masters candidates
- Be typically (taking into account the supervisory opportunities in the discipline and in the unit in which they are employed), supervising two doctoral candidates.

#### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a local and increasingly national level

## **Senior Research Fellow (over the bar) (Humanities)**

At Senior Research Fellow (over the bar), staff members are expected to:

### ***Research and Creative Work***

- Have demonstrated leadership in research development and mentoring
- Have typically published 22 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated two (preferably) external research grants or contracts or other type of external funding or internal research grants.

### ***Teaching***

- Have carried out successful course or programme direction
- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have typically (taking into account the supervisory opportunities in the discipline and in the unit in which they are employed), supervised to successful completion three Honours, four Masters and two doctoral candidates.

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a national and increasingly international level.

## **Lecturer (Humanities)**

Lecturers are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in teaching, research and creative work, and service and leadership. They are also expected to meet the University definition of "Active in research" (Appendix 2). As their careers progress, Lecturers are expected to develop their capabilities in teaching and supervision (that is intellectually challenging, and well-informed by up-to-date research) and in research/creative work, taking advantage of professional learning and mentoring opportunities that are available to them. As a result, their performance, both in quality and in quantity, is expected to increase as they advance through the period of their lectureship towards promotion to Senior Lecturer.

They are expected to show evidence of service and leadership (as defined above), primarily at the level of the Department, and at a local (as distinct from a national or international) level (consistent with the Leadership Framework)

## **Senior Lecturer 1 (Humanities)**

At Senior Lecturer 1, staff members are expected to:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding.
- Have engaged in advising and mentoring students
- Have typically supervised to successful completion two Honours and two Masters candidates
- Be typically (taking into account the supervisory opportunities in the discipline), supervising two doctoral candidates.

### ***Research and Creative Work***

- Have typically published at least 6 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated one (preferably) external research grant or contract or other type of external funding or internal research grant.

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a local and increasingly national level

## **Senior Lecturer 6 (Humanities)**

At Senior Lecturer 6, staff members are expected to:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have carried out successful course or programme direction
- Have demonstrated teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion three Honours, four Masters and two doctoral candidates.

### ***Research and Creative Work***

At Senior Lecturer 6, staff members are expected to:

- Have typically published 15 peer-reviewed journal articles/book chapters/creative works or equivalent

- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated two (preferably) external research grants or contracts or other type of external funding or internal research grants.

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, primarily at the level of the Department and Faculty, and
  - Externally, at a national and increasingly international level.

## **Associate Professor (Humanities)**

At Associate Professor, staff members are expected to:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have led successful academic programme initiatives that have demonstrably enhanced the quality and delivery of courses and/or programmes at the University
- Have demonstrated teaching and supervision that is intellectually challenging, shows confident control of relevant research-informed content, and systematically uses evidence from students to modify teaching to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have engaged in mentoring early career teachers
- Be recognised as a leader in teaching and learning through publications, presentations to professional conferences or workshops, or mentoring of other staff
- Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion four Honours, six Masters and four doctoral candidates

### ***Research and Creative Work***

- Have typically published at least 25 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated one major external research grant or contract or other type of external funding.
- Have engaged in mentoring early career researchers

### ***Service and Leadership***

- Show evidence of service and leadership (as defined above, consistent with the Leadership Framework):

- Within the University, at the level of the Department, Faculty and University, and
- Externally, at a national and international level

## **Professor (Humanities)**

At Professor, staff members are expected to show evidence of international eminence in their field and:

### ***Teaching***

- Have demonstrated leadership in independent development of courses, course materials and curriculum
- Have led successful academic programme initiatives that have demonstrably enhanced the quality and delivery of courses and/or programmes at the University
- Have demonstrated teaching and supervision that is intellectually challenging, shows confident control of relevant research-informed content, and systematically uses evidence from students to modify teaching to increase student understanding and engagement.
- Have engaged in advising and mentoring students
- Have engaged in mentoring early career teachers
- Be recognised as a leader in teaching and learning through publications, presentations to professional conferences or workshops, or mentoring of other staff
- Have typically (taking into account the supervisory opportunities in the discipline), supervised to successful completion six Honours, eight Masters and six doctoral candidates .






### ***Research and Creative Work***

- Have typically published 40 peer-reviewed journal articles/book chapters/creative works or equivalent
- Have undertaken research/creative work which has demonstrable quality and impact
- Have typically generated two major external research grants or contracts or other type of external funding.
- Have engaged in mentoring early career researchers






### ***Service and Leadership***

- Show evidence of outstanding service and leadership (as defined above, consistent with the Leadership Framework):
  - Within the University, at the level of the Department, Faculty and University, and
  - Externally, at a national and international level

# Leadership Framework -Academic Standards – Senior Lecturer, Senior Research Fellow and Senior Lecturer

Academic Grade		Lecturer/ Research Fellow Levels L1-7	Snr Lecturer/ Snr Research Fellow Levels SL1-5	Snr Lecturer/ Snr Research Fellow SL6 - 8
Increasing scope, responsibility, contact and impact				
Leadership Dimensions and Capabilities		Standards	Own academic responsibilities Significant Departmental/ Discipline Relevant Community context	Faculty/ Developing University  National context  Significant Faculty/ Developing University  Developing international context
 <b>Exhibiting Personal Leadership</b> Rangatiratanga <p><b>Personal Attributes:</b> Displays integrity, professionalism, adaptability and courage, accurately perceive and interpret own and others' emotions and behaviours in the context of the situation to effectively manage own responses, reactions and relationships.</p> <p><b>Interpersonal Effectiveness:</b> Communicates with clarity, using constructive interpersonal behaviours and interactions to influence others, resolve conflict and inspire cooperation and achievement.</p>				
 <b>Setting Direction</b> Mana Tohu <p><b>University Awareness:</b> Displays an understanding of the international and commercial context in which the University operates and how the University works to successfully achieve results.</p> <p><b>Planning &amp; Organising:</b> Established courses of action for self/and others to ensure that work is completed efficiently, while building/contributing to a successful work/project/research team.</p> <p><b>Stakeholder Service:</b> Ensures that the service provided to stakeholders is a driving force behind decisions and activities; crafts and/or implements service practices that meet the needs of stakeholders (as well students and staff) and the University, including a safe and healthy environment.</p>				
 <b>Innovating and Engaging</b> Whakamatāra <p><b>Relationship Building:</b> Establishes and maintains effective working relationships with stakeholders inside and outside the University, using an appropriate interpersonal style to advance the University's objectives.</p> <p><b>Facilitating Change &amp; Innovation:</b> Facilitates and supports University changes needed to adapt to changing external/market demands, technology, and internal initiatives; initiates new approaches to improve results by transforming University culture, systems, or programmes/services.</p>				
 <b>Enabling People</b> Hāpai <p><b>Scholarship/Professional Development:</b> Engages in discovering, integrating, applying and disseminating the knowledge and professional skills necessary to be successful in current and future roles; promotes collegiality and actively pursues development experiences to improve personal impact and that of the University.</p> <p><b>Valuing Equity:</b> Works actively to support the University's commitment to Maori, Te Tiriti o Waitangi and equity; values the capabilities and insights of individuals (both inside and outside the organisation) with diverse backgrounds, styles, abilities, and motivation.</p> <p><b>Coaching and Developing Others:</b> Provides feedback, instruction and development guidance to help others (individuals and teams) excel in their current or future responsibilities; plans and supports the development of individual/team skills and abilities.</p> <p>Or</p> <p><b>Leading Teams:</b> Uses appropriate methods and interpersonal styles to develop, motivate, and guide the work/project/research team to attain successful outcomes and objectives.</p>				
 <b>Achieving Results</b> Whai hua <p><b>Decision Making:</b> Identifies and understands issues, problems, and opportunities; compares data from different sources to draw conclusions and uses effective approaches for choosing a course of action or developing appropriate solutions; takes action that is consistent with available facts, constraints, and probable consequences.</p> <p><b>Delivering Results:</b> Sets high objectives for personal/group accomplishment; uses measurement methods to monitor progress toward goals; tenaciously works to meet or exceed goals managing resources responsibly; seeks continuous improvements.</p>				

## Leadership Framework -Academic Standards – Associate Professor and Professor

Academic Grade		Associate Professor	Professor
Increasing scope, responsibility, contact and impact			
<b>Leadership Dimensions and Capabilities</b>		Sustained Significant Faculty/	Sustained Significant Faculty/Sustained Significant University/Multi-disciplinary
		Significant University	International context
		National	
		Developing international	
 <b>Exhibiting Personal Leadership</b> Rangatiratanga <b>Personal Attributes:</b> Displays integrity, professionalism, adaptability and courage, accurately perceive and interpret own and others' emotions and behaviours in the context of the situation to effectively manage own responses, reactions and relationships. <b>Interpersonal Effectiveness:</b> Communicates with clarity, using constructive interpersonal behaviours and interactions to influence others, resolve conflict and inspire cooperation and achievement.			
 <b>Setting Direction</b> Mana Tohu <b>Global and Commercial Acumen:</b> Demonstrates an understanding of the competitive global environment and key market drivers, as well as an awareness of economic, social and political trends that impact the University's strategy, and uses this understanding to create and seize opportunities, expand into new markets and deliver programmes, teaching and learning, research and service <b>Establishing Strategic Direction:</b> Establishes and commits to a strategic direction for the Faculty/Service and University based on an analysis of information, internal/external drivers, consideration of resources, and organisational values to clearly communicate a compelling view of the future. <b>Stakeholder Service:</b> Ensures that the service provided to stakeholders is a driving force behind decisions and activities; crafts and/or implements service practices that meet the needs of stakeholders (as well students and staff) and the University, including a safe and healthy environment.			
 <b>Innovating and Engaging</b> Whakamatāra <b>Building Strategic Partnerships:</b> Identifies opportunities and takes action to build strategic relationships with stakeholders inside and outside the University to help achieve strategic aspirations and objectives. <b>Facilitating Change &amp; Innovation:</b> Facilitates and supports University changes needed to adapt to changing external/market demands, technology, and internal initiatives; initiates new approaches to improve results by transforming University culture, systems, or programmes/services.			
 <b>Enabling People</b> Hāpai <b>Scholarship/Professional Development:</b> Engages in discovering, integrating, applying and disseminating the knowledge and professional skills necessary to be successful in current and future roles; promotes collegiality and actively pursues development experiences to improve personal impact and that of the University. <b>Championing Equity:</b> Leads strategic decision making and implementation for Te Tiriti o Waitangi and equity objectives, and values the capabilities and insights of those with diverse backgrounds, styles, abilities, and motivation. <b>Leading Teams:</b> Uses appropriate methods and interpersonal styles to develop, motivate, and guide the work/project/research team to attain successful outcomes and objectives. Or <b>Building Talent and Engagement:</b> Establishes systems and processes to attract, select, develop, engage and retain talented individuals; creates a work environment where people can realise their full potential, thus allowing the University to meet current and future challenges; coaches and develops others to excel in their current of future position; drives a culture of collaboration and engagement.			
 <b>Achieving Results</b> Whai hua <b>Decision Making:</b> Identifies and understands issues, problems, and opportunities; compares data from different sources to draw conclusions and uses effective approaches for choosing a course of action or developing appropriate solutions; takes action that is consistent with available facts, constraints, and probable consequences. <b>Implementing Strategy:</b> Translates strategic priorities into operational reality and drives high standards for you own and others' accomplishment; creates alignment to ensure activities produce measurable and sustainable results; tenaciously works to meet or exceed challenging objectives; maintains fiscal responsibilities and seeks continuous improvements for all levels.			

# Appendices

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## Appendix 1: Teaching Standards: Peer Review Process

All the standards include specifications of required levels of performance in teaching and supervision. Applicants are expected to demonstrate 'teaching and supervision that is intellectually challenging, well-informed by relevant research, and takes account of evidence from students to increase student understanding' and (for promotion to SL 6 and above) 'engagement.'

In order to establish that they have met this requirement, applicants for promotion to or continuation at Senior Lecturer 1, Senior Lecturer 6, Associate Professor and Professor and, where relevant within those grades, will be required to submit a teaching portfolio. The portfolio will detail their teaching and supervision contributions and demonstrate how reflection on the learning experiences and achievements of their students has been used to refine their practice. Staff members will be expected to secure formal feedback from students through University-endorsed course and lecturer evaluations on all courses to which they have made substantial contributions. Applicants for appointment at these levels will be encouraged to also submit a teaching portfolio including student and peer evaluations.

From 2015 applications from staff members seeking promotion to or continuation at associate professor and professor must include a report from a peer review team appointed by their Academic Head. Teams will comprise a senior staff member nominated by the Centre for Learning and Research in Higher Education and a senior Faculty colleague in a related discipline. They will be provided with a copy of the applicant's teaching portfolio and supporting material (including course and lecturer evaluations and course outlines) and reports of peer reviews of teaching. The reviewers' written report will address the expectations specified in the teaching standard quoted above, and those relating to leadership in teaching. Reviewers will provide applicants with a copy of their report and discuss it with them at a formal meeting. Applicants may include commentary on reports with their application materials.

## Appendix 2: Research Standards: Active in Research

The Vice-Chancellor outlined in a March 2010 statement to all staff the importance of research-informed teaching to the University. His statement included the expectation that the teaching in all our degree and postgraduate programmes should be led by staff who are active in research.

The Research Guide for Academic Staff of the University of Auckland defines research as follows:

"Research is original investigation undertaken in order to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement. It typically involves enquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment by experts in a given discipline.

It is an independent<sup>2</sup>, creative, cumulative and often long-term activity conducted by people with specialist knowledge about the theories, methods and information concerning their field of enquiry. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation.

In some disciplines, the investigation and its results may be embodied in the form of artistic works, designs or performances. Research includes contribution to the intellectual infrastructure of subjects and disciplines (e.g. dictionaries and scholarly editions). It also includes the experimental development of design or construction solutions, as well as investigation that leads to new or substantially improved materials, devices, products or processes."

The minimum standard of "active in research" for the purposes of research-informed teaching are set out below. Higher standards are, of course, required for those above the rank of Lecturer.

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<sup>2</sup> The term 'independent' here does not exclude collaborative work

- (i) Staff who are active in research have, during the last three years, produced an average of one substantive quality-assured research output per year<sup>3</sup>.
- (ii) Production of quality-assured research outputs is the main criterion. However, at the discretion of the Dean, the following may also be taken into account:
- supervision of research postgraduate students
  - presentation of original research at conferences, exhibitions, performances and concerts
  - obtaining competitive external research funding
  - involvement as an editor for academic publications
  - enrolment in a supervised research doctoral degree that is in-time, and in which satisfactory progress is maintained

It is the responsibility of the Dean to determine whether a staff member is active in research.

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<sup>3</sup> For more detailed descriptions of what is and is not considered a quality assured research output, refer to Section 6 of the Research Guide for Academic Staff. The definition of substantive will vary in different disciplines, but outputs in category 12 (other) would not normally be considered substantive for this purpose, while those in category 1 (books) might be considered the equivalent of more than one research output.