

POLICY ON ACADEMIC APPOINTMENT AND PROMOTIONS

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	Policy on Academic Appointment and Promotions	Fully	CO/01/0312/18

¹ Refer: Principles and Guidelines on the Naming and Approval of Regulatory Documents

1. Introduction

1.1 This Revised Policy supersedes the academic appointment and promotion policy (CO/01/0312/18) that was implemented in January 2019. This Revised Policy (CO/01/2706/22) is a result of a broad-based and inclusive consultative process within the University structures.

The revised Academic Appointments and Promotions Policy is subdivided into two coherently interlinked parts, namely;

- Part I: The Policy, Part II: Processes and Procedures, Part III: Guidelines (single document).
- Part IV: Annexures to Policy (single document).

Part IV (Annexures) includes the areas of evaluation of Scholarship for appointment or promotion to a particular academic level (Annexures 2-10), templates, forms and letters (Annexures 1, 11-16) and the process flow of appointment and promotion process (Annexures 17-21) respectively.

2. Context and Purpose of the Policy

The University of KwaZulu-Natal with its five campuses spanning the two metropolises of eThekweni (Durban) and Msunduzi (Pietermaritzburg), together with the sub-national, national, regional, continental and global networks across which academics and students perform, provides the context for the Academic Appointments and Promotions Policy.

The purpose of the Academic Appointment and Promotions Policy is to:

- 2.1. Enable the UKZN to achieve its mission to be academically excellent, innovative in research, critically engaged with society and demographically representative.
- 2.2. Ensure that the criteria in this policy are also applied in determining the suitability of candidates being recruited into the University.
- 2.3. Facilitate the recruitment, selection, retention and promotion of high-quality members of academic staff with appropriate expertise and experience who shall strengthen the University's capability to achieve strategic and operational goals.
- 2.4. Recognise and reward academic members of staff who, by their outstanding achievements, are eligible for promotion to a higher academic level.
- 2.5. Ensure integrity and trustworthiness of the academic appointment and promotion process to uplift academic staff to the appropriate academic level.

3. Policy Statement

The Academic Appointments and Promotions Policy aims to:

- 3.1. Systematically foster an excellent performance of academic staff and strategic recruitment of top-quality academics.
- 3.2. Attract, nurture, recognise, reward and retain academic staff of outstanding quality who perform in ways that contribute to their own and UKZN's reputation nationally and internationally. This process enhances our ability to transform our society for improved sustainable livelihoods of people.

3.3. Implement uniform standards and comprehensive institutional policy in the promotion of academic staff as applicable across all Schools and Colleges of UKZN.

3.4. Affirm the establishment of multiple career pathways which set the upward and /or horizontal mobility trajectory through academic ranks of Lecturer, Senior Lecturer, Associate Professor, Full Professor, Teaching Scholar, Research Scholar, Research Professor and Leadership Scholar. The Leadership Scholar pathway is one way of increasing levels of responsibility of leading and managing groups of staff, such as those within a Discipline, School, or College or leading a University. The positions of Teaching Scholar, Research Scholar, and Leadership Scholar positions are offered through appointment and/or promotion processes. These positions are open to staff at the associate or professor levels. The research professor position is open to full professors only. The roles of these specialised scholars (and A-NRF or equivalent scientific rated scholars and professors extended beyond retirement) will be to focus on strategic areas of the University, provide targeted mentorship of emerging academics, attract external grants, improve teaching, research /knowledge production in their respective fields and leadership experiences in the University.

3.5. Create an enabling environment for career success that enables line managers to engage with academics and together: assess performance, enhance strengths, and improve areas that require development that include populating an academic's development plan and implementing multi-year plans towards an application for appointment or promotion to the next academic level through the specialisation or leadership career pathways.

3.6. In the promotion and appointment process, the policy accommodates disciplinary differences in light of uniform standards with specific reference to the professional disciplines (including accounting/finance/auditing), law, creative/performing arts, architecture, engineering, clinical medicine (including laboratory Medicine and Medical Sciences; Nursing and Public Health, applied human sciences (professional disciplines) and scarce skills disciplines) where the appointment or promotion criteria may differ.

3.7. Promote transformation ideal at UKZN as per the aspirations of the South African Constitution, with the intention of creating a space in which dialogue and debate are genuinely possible and fresh ways are constantly sought, generated, embraced and /or rejected for the betterment of our society.

4. Goals of Academic Appointments and Promotions at UKZN

The Academic Appointments and Promotions Policy will accomplish the following goals:

4.1. Recognise the excellent performance of our academic staff and ensure that the University retains those who demonstrate excellence and thereby inspire greatness, which enhances the quality of our outcomes.

4.2. Enable recruitment and appointment of top-quality academic staff at the appropriate academic level, thus fortifying the University's steadfast international recognition for academic excellence.

4.3. Facilitate the transformation of our academic staff demographics across all academic ranks.

4.4. Ensure that the theoretical and practical scholarly contributions of the academics in the University have a positive and significant impact on our society in accordance with the UKZN strategic plan especially with regard to translating research into practical applications that improve human lives and livelihoods, whether in industrial applications, social upliftment, or creative arts.

4.5. Earnestly recognise the value of scholarship in professional practice and cultivate retention strategies of appointed academic staff in the clinical (including laboratory Medical and Medical Sciences, Nursing and Public Health), accounting/finance/auditing, law, creative/performing arts, applied human sciences (professional disciplines), and scarce skills disciplines. This provision takes special cognisance in the professions that rely on joint appointments of service-orientated practice, such as Clinicians, nursing and public health and laboratory medicine and medical sciences academics.

4.6. Affirm the appointment and promotion processes, procedures and criteria by giving due recognition to the experience of applicants when assessing scholarships.

4.7. Holistically evaluate academic staff across four areas of: Teaching and Learning; Research and Innovation; Leadership and University Administration, and Academic Citizenship (including community engagement).

4.8. Provide a dynamic yet uniform system for weighting and scoring staff achievements in the evaluation of Scholarship within the context of an academic's discipline.

4.9. Drive the continuous improvement of academic staff in terms of national and international competitiveness and ensure that implementation of academic appointment and promotion processes and procedures hold the necessary credibility and gravitas across the University.

4.10. Align the policy with the strategic positioning of the University.

5. REACH Values in Academic Appointments and Promotions Processes

The appointment and promotion processes shall reflect the REACH^T values of the UKZN (that include:

5.1. Respect

5.1.1. The process and procedures shall respect/value the applicants and their achievements.

5.1.2. The process and procedures are user-friendly.

5.1.3. The process shall respect the credibility and status of academic peers in the discipline, and therefore their inputs to the process, alongside the inputs from the Integrated Talent Management process.

5.2. Excellence

5.2.1. Achievement of excellence in Scholarship, which includes Teaching and Learning; Research and Innovation; Leadership and University Administration; and Academic Citizenship (including community engagement). Other aspects of academic contributions, and recognition within the academic discipline at a level higher than a candidate's current appointment, shall be the basis for promotion.

5.2.2. For applied disciplines, the application of knowledge and the recognition by peers of a contribution to professional practice are central to the assessment of excellence in Scholarship.

5.2.3. Excellence is assessed by academic peers benchmarked with standards in the higher education sector nationally and internationally.

5.2.4. Excellence is considered holistically and not defined by a checklist of criteria to be fulfilled. The term holistic means that the candidate will be assessed on the full range of academic accomplishments and standing at a level of excellence commensurate with the level to which they have applied for promotion.

5.2.5. Academic credibility is fundamental to the reputation of the University. The recognition of excellence in Scholarship at different academic levels as a foundation for appointment and promotion processes is critical to the success of UKZN and, therefore, of staff and students of the University. The minimum benchmarks for each academic level are delineated in Part IV (Annexures 2 to 10). All academic staff and participants in the appointment and promotion processes shall understand these benchmarks.

5.2.6. Adherence to University policies, norms and standards give rise to academic credibility.

5.3. Accountability

5.3.1. The role-players in the academic appointment and promotion shall be accountable. The process for the Selection Committee is to weigh and score evidentiary components presented by the candidate and not measure achievements. The process involves the evaluation and not an examination of applicants.

5.3.2. An evaluation of Scholarship across the four areas of Scholarship by external peers provide discipline-specific benchmarking.

5.3.3. Accountability of the overall appointment and promotion process rests with the chairs of the selection committees and ED HR as well as academic standards and requirements determined by Senate from time to time.

5.4. Client Orientation (Staff Orientation in this context)

5.4.1. The appointment and promotion process is founded on the premise that academic staff who perform consistently and excellently above their current academic level will have a reasonable expectation of promotion as outlined by the criteria in annexures 2-10 respectively.

5.4.2. The appointment and promotion process facilitates easy access to the application and the required supporting materials. In addition, the process and procedure further allow a time-sensitive rapid outcome for both applicants and participants in the process.

5.4.3. The outcome of the process shall be transparent, with the decision founded on substantiated reasons and clearly communicated to the candidate who has applied for promotion within the designated timeframes.

5.4.4. The confidentiality of the information supplied by candidates seeking appointment or promotion will be preserved and protected by all committee members and peer reviewers who participate in the process.

5.5. Honesty

5.5.1. All aspects of and actors in the promotion and appointment process shall embody the principle of integrity.

5.5.2. Teamwork and collaboration are important components of the evaluation of Scholarship for appointment or promotion, which require upright and authentic participation of actors in the process.

5.5.3. Authenticity of participation includes the recognition that excellence of practice in key sectors of government such as clinical work (including nursing and public health and laboratory medicine and medical sciences), engineering, law, accounting and finance, creative/performing arts, architecture, applied human sciences (professional disciplines) and certain scarce skills disciplines are reflected in achievements other than scholarly articles or postgraduate training. Therefore, appointment and promotion processes should deal with these practitioners in a specific and tailored manner without sacrificing quality.

5.5.4. The process accentuates quality and not just quantity of work.

5.6. Trust

5.6.1. Candidates for appointment or promotion as well as all actors in the process should trust each other and the role of the process and procedures in transforming UKZN, South Africa, the Southern African region, the African continent and beyond.

5.6.2. Transformation of the Higher Education sector is a strong imperative, and the appointment and promotion processes shall not undermine academic standards.

5.6.3. The appointment or promotion to a particular level shall take into account holistic evaluation of the applicant so long as there is adherence to standards.

5.6.4. There is a massive skills shortage in South African academia. Trust in the appointment and promotion processes shall facilitate the appointment, development, retention and promotion of staff with top talent.

5.6.5. There are specific scarce skill areas where the staff's attraction and retention are especially critical. Trust in the appointment and promotion processes by all actors should allow evaluation of candidates with scarce skills in a specific and tailored manner without sacrificing quality.

6. Principles Guiding Academic Appointment and Promotion Process

6.1. The University is committed to sustained leadership excellence, achievement, and innovation in all aspects of academic work.

6.2. Academic staff contribute significantly to the image and standing of the University through teaching and learning; research and innovation; leadership and university administration; and academic citizenship (including community engagement).

6.3. The University understands academic appointments and promotions as instruments for achieving its mission. Through appointment and promotion, the University acknowledges the contributions made by academic staff within the University and the wider community.

6.4. The University affirms its research-led status, the strategic role of teaching and learning, and REACH^T ethos in academic appointments and promotions.

6.5. All forms of bias and unlawful discrimination shall be excluded from recruitment/ selection and promotion processes. Furthermore, the methods used to assess applicants by the University across all academic levels shall be fair, transparent, objective, flexible and equitable, according to Council-approved policies.

7. Scope of Policy and Eligibility Criteria

The eligibility criteria for appointment and/or promotion to any academic level shall apply to:

7.1. All permanent members of the academic staff (including seconded staff and staff in the College of Health Sciences who are on Public Service Conditions of Service and the Joint Health Establishment).

7.2. Academic staff appointed on a fixed-term contract basis (including those in research centres and units) who have been in the service of the University for at least two years and have not attained the retirement age.

7.3. Any applicant, internal or external to UKZN, who makes an application for an academic position at UKZN, as per the general recruitment policy.

7.4. Appointment to adjunct positions such as Lecturer, Senior Lecturer, Associate Professor, Full Professor, Research Professor, Teaching Scholar, Research Scholar and Leadership Scholar where the recruitment falls under the partner organisation.

7.5. These eligibility criteria for appointment and/or promotion to any academic level do not apply to:

7.5.1. A UKZN employee on a non-renewable contract.

7.5.2. Academic staff:

7.5.2.1. Who are employed on a casual basis; or
7.5.2.2. Whose employment is externally funded (except for those working in research units) unless the funding includes a proviso to support the promotion.

7.5.3. Who is still serving a probationary period where applicable.

7.6. In the event that contract staff members are promoted, the said promotion does not vary the length of their contract.

7.7. Newly appointed academic staff may be subject to a probation period of not less than one (1) year. Afterwards, the staff will be evaluated by the line manager, College HR manager, Dean and Head of School for a permanent position at UKZN. The probation is to augment the evaluation of the individual through the Performance Management process.

8. Academic Levels for Appointment or Promotion

The academic levels to which employees may aspire through appointment or promotion are Lecturer, Senior Lecturer, Associate Professor, Professor, Research Scholar, Teaching Scholar, and Leadership Scholar. Candidate for research professor are considered through appointment and not promotion.

9. Constitution of Selection Committees

In accordance with the University's goals and values the selection committees shall, where possible, be diverse and demographically representative in terms of gender and race.

10. Referees and Independent Assessors

The appointment and/or promotion to Senior Lecturer level shall use referees, whereas the appointment and promotion to the professoriate levels will use independent national and international assessors.

11. Evaluation of Candidates for Appointment or Promotion

11.1 The selection committee evaluates candidates and will have access to reports from referees/independent assessors or portfolio assessment committees as the case may be. The selection committee, referees/assessors and portfolio assessment committees will rely upon areas of evaluation of scholarship, as the case may be. The Selection Committee contextualises the evaluation within the candidates' Discipline or School.

11.2 The candidates will be evaluated holistically, taking into account extraordinary circumstances that include, for example, fewer publications in high-impact Scopus-listed journals, life-changing events, scarce talent retention, the benefits afforded by special leave such as sabbatical leave, the demand for inter-and trans-disciplinary research, and the impact on research productivity.

11.3. Where a vacancy is advertised to fill a post and no suitable target candidate is available at the closing date of receiving applications, or after the interview, the post will be re-advertised immediately (and not later than seven days) only once. Thereafter all applicants (including those from the first and second adverts) will be evaluated together by the relevant selection committee as provided for in the policy.

11.4. Assessors and external reps (external to UKZN) will be incentivised with honorarium comparable to the prevailing rates payable to external examiners of doctoral theses.

11.5 Assessors selected to evaluate the applicants for appointment and promotion shall be experts and of high standing in their Disciplines drawn from national and international comparable universities to UKZN.

11.6. Where in certain scarce skills Disciplines, including isiZulu it may not be possible find assessors internationally, majority of assessors may be drawn from national universities of comparable academic ranking to UKZN.

12. Mini Teaching, Community Engagement and Clinical Portfolios of Evidence

For the purpose of appointment and promotion, candidates shall submit a mini Teaching portfolio, and Community Engagement portfolio of evidence using a framework similar to the one for the Council on Higher Education/Higher Education Learning and Teaching Association of Southern Africa (CHE/HELTASA) Distinguished Teacher awards standards. Applicants in the College of Health Sciences will in addition submit a clinical portfolio of evidence. Only candidates applying for senior lecturer positions have the option to seek promotion through community engagement career pathway and assessed through a community enjoyment portfolio of evidence. Teaching, Clinical and Community engagement portfolios of evidence in their entirety remain important tools for any teaching, clinical and community engagement practices and should be encouraged for purposes other than appointment and promotion. The compilation and evaluation of Teaching/Community Engagement and Clinical Portfolios of evidences are presented in the Guidelines of the Policy (Part III, sections 9.1 – 9.4).

13. Feedback to Applicants on the Outcome of the Promotion Process

13.1. Both successful and unsuccessful candidates will receive feedback from ED HR through the Dean and Head of School to assist their future career and professional development.

13.2. Feedback by the EDHR to candidates after the conclusion of the appointment and/or promotion process at the School level shall be within a reasonable time (but not later than 15 working days) and as defined in the timelines in Part IV annexure 21. The accountability rests with ED HR.

14. Appeals for Unsuccessful Applicants

14.1. The selection committee's decision is final, and there is no right of appeal against a decision taken not to accede to an application for promotion. The only exception to this rule is where an applicant contends that there was a failure to follow the prescribed procedure, that the process was otherwise flawed, or that the outcome was substantively unfair.

14.2. Where an appeal is warranted, the candidate will submit the appeal to ED HR no later than five working days after receiving feedback from the Dean and Head of School on the promotion.

14.3. The appeal lodged by the applicant to the ED HR will be concluded in a reasonable time, and feedback provided to the appellant not later than 21 working days from the time of lodging the appeal.

15. The Acquisition and Utilisation of the Title of Professor at UKZN

Academicians earn the title of 'Professor' through an academic promotion process or appointment to the academic rank of Associate or full professor according to the respective University policy, procedures and criteria.

16. Extension of Appointment beyond Retirement

In the event that an academic staff member demonstrates a sustained high level of performance, based on the previous three years prior to attaining the age of 65, such staff member may be eligible for an extension of appointment beyond the retirement age.

17. Fractional Appointments

This Policy makes provisions for the following categories of honorary staff appointments:

- 17.1. Honorary Lecturer;
- 17.2. Honorary Senior Lecturer;
- 17.3. Honorary Associate Professor;
- 17.4. Honorary Full Professor;
- 17.5. Honorary Research Fellow/Senior Research Fellow;
- 17.6. Honorary Clinical Associates;
- 17.7. Honorary Clinical Fellows;
- 17.8. Extraordinary Professor;
- 17.9. Professor Emeritus;
- 17.10. Senior Research Associate; and
- 17.11. Visiting Appointment such as adjunct lecturer/senior lecturer/AP/Professor.

18. Award of Fellowships of the University of KwaZulu-Natal

The University of KwaZulu-Natal awards fellowships to staff members in recognition of distinguished academic achievement in their fields of expertise.

19. Interpretation and Application of the Academic Appointments and Promotion Policy

19.1. The interpretation and application of this Policy shall be consistent with all applicable legislation.

19.2. In addition, interpretation and application of this Policy shall, in general, conform to all other relevant policies, guidelines, and rules of the UKZN. The ED HR is responsible for ensuring, harmony and coherence of applicable policies.

19.3. Part II: The Processes and Procedures and Part III: Guidelines and the annexures in Part IV shall be read as integral components of this Policy.

19.4. This revised Policy supersedes the previous policies on academic appointments and promotions that include:

- 19.4.1. Academic Promotion Policy
- 19.4.2. Academic Staff Promotion Procedures & Guidelines
- 19.4.3. Adjunct, Honorary, Retiree and Visitor Appointments Policy
- 19.4.4. Procedures and Guidelines on Adjunct, Honorary, Retiree and Visitor Appointments
- 19.4.5. Procedure for the Award of Fellowship of the University of KwaZulu-Natal
- 19.4.6. Previous Extension beyond Retirement policy.

19.5. This policy also applies to Fixed Term Appointees in Research Centres and Units. The criteria defined for lecturer and senior lecturer should be taken to align with appointments at Researcher and Senior Researcher levels, respectively. For Research Fellow and senior research fellow, this is specified separately in this policy.

19.6. This policy does not apply to professional (support) staff. The Policy on job evaluations governs changes in job profiles.

20. Definitions of Terms

This section attributes particular meaning to and interpretation of terms used in this Policy:

Academic Appointment is the appointment of qualified staff to an academic level of lecturer, senior lecturer, associate professor, full professor, research professor, research scholar, teaching scholar or leadership scholar. Each appointment at a particular level clearly defines sets of responsibilities based on academic and professional achievement.

Academic Citizenship (including community engagement): refers to participation by an academic in University structures/committees on various levels. This participation includes contributions relevant to an applicant's discipline expertise within the university, nationally and internationally; involvement with professional, national and international bodies/boards related to applicant's discipline expertise. It also involves editorial work for journals or assessment work for outside institutions in relevant discipline(s); contribution towards decision making in the Discipline, School, College and University; and diligently and efficiently fulfilling committee responsibilities.

Academic Leadership: includes, *inter alia*, guiding, supporting and facilitating the research of other staff, postgraduate students, and, where appropriate, research teams at appropriate levels nationally and internationally. Academic Leadership also entails mentoring, guiding, supporting and facilitating staff in developing and delivering teaching programs of recognised excellence; and contributing substantially to University governance and collegiality at Discipline, School, College and University levels.

Academic Level: refers to an academic category of Lecturer, Senior Lecturer, Associate Professor, and Full Professor. Generally, newly qualified academics enter the University at a Lecturer level. However, the University structures allow appointment of experienced incoming staff at an appropriate academic level. Senate sets the expectation for each level, but academic peers evaluate the level at any particular point in an academic's career.

Academic Promotion: This is a process whereby academic staff may apply for elevation to a higher level as governed by the academic appointment and promotion Policy which provides all the details on eligibility and criteria.

Adjunct Academic Appointment refers to professionally qualified and registered staff performing primarily service duties where academic responsibilities are a fraction of their duties. Joint appointments may be between the University and government, certain professions or industries. For example, in the Joint Health Establishment, adjunct appointees who are peer-evaluated as academically qualified and have a substantial service record and strong recognition in their professional discipline bodies can receive an adjunct appointment at an appropriate academic level. The available levels are Adjunct Lecturer, Adjunct Senior Lecturer, Adjunct Associate Professor, or Adjunct Professor. A PhD qualification is not a minimum requirement for an Adjunct lecturer/senior lecturer position, but such appointment shall consider substantial academic achievements. Once appointed, such staff may apply for personal promotion to the next academic level. Adjunct Associate Professors may use the title Professor in the same manner as Associate Professors.

Appropriate Professional Qualification in lieu of Masters or Doctoral degree: a professional qualification that requires formal and substantial study or training spanning at least five years and subject to independent assessment, may fulfil appointment or promotion criteria in lieu of masters or a doctoral degree for appointment or promotion to senior lecturer level. Similarly, a professional qualification that requires formal or training spanning at least three years may fulfil appointment in lieu of a master's degree to lecturer level. This type of professional qualification generally applies to clinical medicine (including nursing and public health and laboratory medicine and medical sciences), accounting/ finance/auditing, law, engineering, creative /performing arts, applied human sciences (professional), architecture fields, and scarce skills disciplines.

Artistic works: refers to the appointment of an academic in the creative or performing arts where the primary concentration of the applicant's efforts is on scholarship, on artistic accomplishment, or at a balance between the two that is appropriate both to the artist/scholar's appointment and to the particular stage of

the applicant career. For an academic with such appointments, artistic accomplishment in the fields of literature, music, art, dance, or drama is most often demonstrated by disseminating the artist's work through performance, publication or exhibition in professionally recognised settings, usually outside the University. The artist's work shall have an intrinsic value equal to scholarship and subject to equally rigorous evaluation.

Assessor: an independent expert, usually external to the University and sitting at the same academic level or higher than that for which the candidate applies, who evaluates the merits of an appointment or promotion application. The Dean and Head of School or Deputy Vice-Chancellor of the College, as delegated by Senate, usually appoint the assessor.

Capacity Development: is the direct contribution to building a skill-base and knowledge framework for the individual, group, team, programme, or collaborative network (internal or external to the University) that include “on the job” improvements to practice.

Clinical Portfolio of Evidence: A clinical portfolio of evidence is a private collection of evidence that demonstrates the continuing acquisition of skills, knowledge, understanding and achievement in the clinical practice. The clinical portfolio provides evidence of a person's competence and reflective thinking and illustrates critical analysis skills and self-directed learning.

Clinical Practice: refers to academics with appointments as clinicians who are required to concentrate their primary efforts on clinical practice, which forms the basis of their teaching. Clinical practice is typically demonstrated by applying knowledge to direct patient or client care and the delivery of services in the clinical setting.

Community: industry/business/NGOs/NPO/Education institutions/ government/ civil society/ students/ academics/ management/workers/professional staff.

Community Engagement: “Community engagement is defined broadly, namely as a collaboration between institutions of higher education and their larger communities (local, regional/state, national and global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity” (Schuetze 2010, p.25).

Community Outreach: to utilise knowledge, skills and resources in the university to assist society

Community Service and Development: development of sections of the wider community external to the University (such as government, communities, marginalised groups) by a candidate in the area of one's academic discipline. The community service shall add value in the context of the University's mission and vision. The service shall be significant and relevant to the external community's interest or wellbeing, scholarly in nature, and ongoing.

Credentialing: This is a process of obtaining, verifying, and assessing the qualifications of academics to consider them for elevation to the next academic rank.

Directed Headhunting: a process of recruiting and selecting exceptional academics who would make a substantial contribution to the achievement of UKZN's mission, goals and strategies. Such directed recruiting is normally out of cycle appointment or promotion and is an exception to the general rules associated with appointment and promotion.

Employment Equity: the law that promotes fairness and justice in the workplace and ensures that all employees receive equal opportunities and equitable treatment by their employers. The law protects the employees from unfair treatment and any form of discrimination because of race, gender, pregnancy, marital status, family responsibility, ethnic or social origin, colour, sexual orientation, age, disability, religion, HIV status, conscience, belief, political opinion, culture, language, and birth (The Employment Equity Act, No 55 of 1998).

Engaged Scholarship: is related to scholarly engagement, activities that “reflect a knowledge-based approach to teaching, research, and service for the direct benefit of external audiences” (McNall, Sturdevant-Reed, Brown and Allen, 2009, p. 318).

Extension beyond Retirement: an employment status that delays retirement of employees who have reached retirement age. The extension allows the University to retain certain exceptional, highly skilled and productive staff beyond the retirement age of 65. To qualify for this appointment, the candidate shall demonstrate surpassing expectations of the post, excellent scholarship and meet other policy requirements under the guidelines. The appointment is subject to withdrawal should performance decline.

Extraordinary Academic Appointment: this category applies to the recruitment and selection of academic staff with a broad range of expertise and who may not have pursued a traditional academic career. This category allows the University to recognise the excellent contributions and achievements of such recruits together with the potential to add value to the academic enterprise of a discipline. These appointments are at Extraordinary Senior Lecturer, Extraordinary Associate Professor or Extraordinary Professor level, depending upon a holistic peer assessment of one’s curriculum vitae and application documentation. Once appointed, Senior Lecturer or Associate Professor Level staff may apply for personal promotion to the next academic level. By convention, staff appointed as Extraordinary Associate Professor can use the title “Professor” in the same manner as staff appointed as Associate Professor while employed by the University.

Fast-Track Promotions: The University is committed to retaining high-quality staff. To enable the University respond rapidly to opportunities that retain high-quality staff, a fast-track promotion procedure is exceptionally applied in such circumstances any time of the year (i.e. out of cycle).

Fellowship of the University of KwaZulu-Natal: upon recommendation by the Senior Awards Committee, the University Council may bestow Fellowships to UKZN staff members in recognition of distinguished academic achievement.

G-index: this is an author-level metric that focuses more on the quality of publications. Given a set of articles ranked in decreasing order of the number of citations that they received, the g-index is the (unique) largest number such that the top g articles received (together) at least g^2 citations. Hence, a g-index of 10 indicates that the top 10 publications of an author have been cited at least 100 times (10^2); the g-index gives more weight to highly-cited articles.

H-index: refers to an author-level metric that measures both the productivity and citation impact of a scholar’s publications. The index shows the most cited papers of a scholar and the number of citations that a scholar’s publications have received in other publications. For instance, an h-index of 17 means that the author has published at least 17 papers, and each paper has been cited 17 times.

Honorary Academic: Is a fixed-term appointee, who is not a member of staff, who is a distinguished teacher and/or researcher, who has been granted academic status and title, and the University engages his/her services on an honorary basis, and accords him/her the title befitting his/her academic status. It is expected that the conferment of an appropriate honorary title will bring honour to both the academic and the University. Honorary appointees will publish their collaborative research in the name of the University of KwaZulu-Natal. Honorary appointments are available at all academic levels in the University as per the prevailing criteria for academic appointments.

Honorary Clinical Associate/Honorary Clinical Fellow: refer to a specific type of honorary appointment, made to staff who are not employed by the UKZN and who are not recognised by any other appointment or agreement. An honorary clinical academic provides an academic service in teaching undergraduate and/or postgraduate students in a clinical environment.

Honorary Research Fellow: refers to academics who will be conducting collaborative research at the university for a period of up to three years, without engaging in the general academic endeavours of the University, where any of the other honorary titles are inappropriate.

i10-index: is the number of publications of an author with at least ten citations.

Impact on Society: this entails demonstrated and recognised improvement in human welfare outcomes. The United Nations Sustainable Development Goals and/or the South African National Development Plan defines such improvements, amongst others, impact results from the outputs, actions, or activities of an appointment or promotion of candidates or their team. Such teams may include students and deliver ground-breaking innovation and entrepreneurship, which are in line with the Universities goals on innovation and entrepreneurship.

Innovation: the skill of turning an idea into a solution that adds value from a stakeholder perspective. Innovation is recognised as solutions resembling creativity, application of technology and entrepreneurship.

Journal quartile is the scientific influence of scholarly journals that take into account both the number of citations received by a journal and the prestige of the journals where such citations occur. It is calculated as the quotient of a journal's rank in category (X) and the total number of journals in the category (Y), so that $(X / Y) = \text{Percentile Rank } Z$. Each subject category of journals is divided into four quartiles: Q1, Q2, Q3, and Q4. The top 25% of journals occupies journals in the Q1 category in the list; Q2 is occupied by journals in the 25 to 50% group; Q3 is occupied by journals in the 50 to 75% group, and Q4 is occupied by journals in the 75 to 100% group.

Leadership and University Administration: includes but is not limited to: institutional leadership at UKZN, contributions to higher education and other sectors, and enhancement of the relevant profession or academic discipline as well as communities within and external to UKZN nationally and internationally.

Leadership Scholar is a scholar whose career pathway is one of increasing responsibility of leading and managing groups of staff, such as those within a Discipline, School, College or leading a University. It is also scholarship aspect of promoting research and knowledge production in leadership within and outside the university.

Line Manager: refers to the individual directly responsible for planning and directing an employee's work. Line managers may include Supervisors, Academic Leaders, Deans & Heads of Schools, Deputy Vice Chancellors, etc.

Number of Publications: refers to peer-reviewed publications or other acceptable research outputs as per higher education sector standards for the specific academic level.

Peer Review: means making informed judgments concerning an academics' accomplishments, which can be made only by qualified colleagues. Such subjective judgment by persons competent to evaluate duties, responsibilities, services, and accomplishments will protect the interest of academics themselves, the Discipline, the School, the College, and the University.

Performance Management Line of Sight: is a process of managing performance that provides clear and visible links between the goals, objectives, measures and outcomes of employees consistent with the strategic goals of the University of KwaZulu-Natal.

Postgraduate: in the context of the professoriate refers to Masters and PhD students. For appointment to lecturer/senior lecturer 'post graduate' shall include honours and postgraduate diploma students.

Professional Consultancy Activities: contributions outside the teaching role, which demonstrate the ability to enrich knowledge and skills or apply knowledge and skills in a particular situation. Evidence of achievement in professional consultancy activities would normally include productive engagement with outside groups, resulting in practical outcomes and attracting remuneration to the University.

Professional Practice: refers to academics with appointments as professional practitioners who are expected to have acquired experience and intellectual capital in their chosen field of professional practice. The professional experience and intellectual capital acquired usually enable them as academics to bring both a professional perspective and knowledge of the contexts in which graduates may be employed. For example, professional practice academics may be engaged in teaching classes, developing and managing applied learning opportunities such as field experience or internship, administration of academic programs, advising,

and other aspects of teaching. These positions are reserved for practitioners, whose creative work in professional practice is recognised by peers as making a significant contribution to the field.

Professional Scholars: applies to those individuals whose professional skills, creativity and experience gained from their practice and links with industry and professional networks enhance their teaching, research, governance and social engagement.

Professor Emeritus: an outstanding Professor deemed to have made a substantial contribution at a senior level in terms of service and scholarship, including but not limited to a leadership level; who has retired after having obtained a doctoral degree and full professorship.

Referee: a person selected to provide a potential employer with information about the applicant's past work experience, skills, character and conduct. This third party's information about the applicant is expected to authenticate what the applicant has said in their CV and during an interview.

Research: refers to peer-reviewed publications found in academic journals; professional journals; books and chapters in books. It also includes the publication of standards, legislation and handbooks; involvement in sponsored research projects by governments, professional bodies or business; and involvement in professional projects aimed at the development of the profession's best practice, education and policy.

Research and Innovation: includes but is not limited to engage research that facilitates knowledge production and translates into societal impact, inclusive of research leadership and research-based professional consultancy activities.

Research Associates: Refers to retired researchers who wish to continue in an active research role in the institution for the duration of their affiliation.

Research Chair: Excellent performers at Associate Professor and Professor Levels may be appointed and/or seconded on contract to Research Chair for a period of five years. These positions are intended to promote strategic areas of research and postgraduate training. These may be endowed positions, externally funded, or funded through internal resources, for example, in line with Flagship Research Areas or within Research Units, Centres, or Affiliated Institutes of UKZN.

Research Fellows: These are employees whom the University recognise their outstanding academic achievement. They participate in the University's structures and champion research in various contexts.

Research Flagships: these are critical University-wide cutting-edge research foci that represent areas of research where the University aspires to be world-class on a sustainable basis. Research flagship areas are a mechanism for attracting and retaining the best students and staff to enhance University research performance (UKZN Strategic Plan 2017-2021, p.11).

Research-Led Community Engagement (RCE): these are activities which academics integrate into the two main sectors of academic work – Teaching and Learning; and Research and Innovation. RCE activities are classified into three broad categories:

- **Community Human Capital Development:** Activities, which develop people outside of the University: e.g. the provision of materials for improved teaching and learning in classrooms, the upgrading of staff capacity in other institutions or entities, in-service training of staff, passing on of better skills and knowledge to small scale farmers, literacy training, etc. These activities impact the broader communities and society that the University serves.
- **In-service Education and Training:** Activities of UKZN students outside the University through placements, internships, community service modules, thus enabling students to be better prepared, be more knowledgeable about communities and play a more effective role in the community when they graduate into a work environment. This category of RCE activities facilitate incorporation of new knowledge into mainstream teaching and learning through modules and programmes offered by the University.

- **Research and Development Activities:** This refers to processes through which research involves communities and the application of research outcomes to solve community issues and societal problems. In this case, there is usually an active link between the University with industry, government, NGOs, community groups, and other stakeholders where the research outcomes are recorded in research publications.

Research Professors: academics holding Full Professorship positions with at least ten years of work experience in either research or industry relevant to a particular field or discipline. They regularly make a substantial original contribution to scholarship of outstanding quality as national and international experts in their field. They lead University research and innovation strategy and actively develop the next generation of academics in research undertakings. Research Professors are not usually involved in tuition but may supervise postgraduate research projects.

Research Scholars: these academics hold Professorship positions (Associate or full professorships); have acquired at least ten years of work experience in either research or industry relevant to a particular field or discipline. They are also well-established national and international experts in their field. They have a broad understanding of research and scholarship and have an established international reputation for academic leadership. They lead improvements of the university's research profile and attract substantial funding from external sources to the University. Research Scholars are normally have limited teaching roles but will retain the core functions of postgraduate supervision, leadership/administration and academic citizenship.

SAPSE: means the South African Post-Secondary Education accreditation system. This is a system of the Department of Higher Education and Training (DHET), which pays a subsidy to South African universities and certain research institutions for each article published in particular local and international journals. These journals appear on DHET's list of "accredited" journals or the Thompson Reuters Web of Science's International Science Index (ISI), Scopus, as well as the International Bibliography of Social Sciences (IBSS).

Scarce Skills: these are highly sought-after, almost irreplaceable skills as defined in, but not limited to the *National List of Occupations in High Demand* of the Department of Higher Education and Training (DHET).

Scholarship: for the purposes of UKZN Academic Appointment and Promotion Policy refers to a holistic conception of Teaching and Learning; Research and Innovation; Leadership and University Administration; and Academic Citizenship (including community engagement).

Scholarship of Engagement: seeks to understand and solve pressing social, civic, and ethical problems through research and the dissemination thereof, making connections across disciplines and advancing knowledge through synthesis by connecting the university resources (Boyer 1996). When faculty "*study, write about, and disseminate scholarship about their activities*" (McNall, Sturdevant-Reed, Brown and Allen 2009, p. 318).

Senior Research Associate: refers to retired University staff who are active in research and who return to continue with, or to complete, their research projects, for which they may receive an appointment in line with prevailing processes and procedures.

Scholarship of Teaching and Learning (SoTL): is a systematic inquiry into student learning that advances the practice of teaching in higher education by making inquiry findings public. It draws largely on the reciprocal relationship between teaching and learning at the post-secondary level (Boyer, 1990) with the overall intention to improve student learning and enhance educational quality.

Service: includes the contributions an academic member makes to the profession, University, and society at large. Advancement of the academic profession is most typically demonstrated by active participation in professional and scholarly associations; service on editorial boards such as a reviewer of scholarly works and proposals; participation on expert committees, grant selection panels, research committees, or practice committees of professional associations or institutions. In clinical disciplines, this includes fostering collaborative relationships with clinical agencies that provide sites for clinical practice.

Sustained Level of Achievement: refers to an academic who demonstrates achievement at a high level, which the academic maintains over an extended period. The nature of achievements and contributions

should be commensurate with performance expectations at the academic level that the academic seeks to attain through appointment or promotion.

Teaching and Learning: includes but is not limited to contextually engaged teaching, curriculum and programme development, educational leadership, and incorporation of student-directed independent learning and critical analysis in the learning environment. Guidelines for compilation of the mini teaching, and Community Engagement Portfolios of evidence on one hand, and clinical portfolio on the other for appointment and promotion purposes are outlined in this document.

Teaching Portfolio: refers to articulable and documented evidence of an academic's teaching philosophy, goals, and achievements. It is a structured personal record, which an academic reflectively compiles. It includes contemplation of and appreciation for the various contexts within which an academic carries out the core business of the University. This self-evaluation process and goal-setting and accomplishment is an approach to teaching enhancement whereby the academic can gauge successes, opportunities for improvement, and means for personal and professional fulfilment. Portfolios of evidence in Teaching, Clinical practice and community engagement are useful for not only appointment/promotion but also for overall career enhancement purposes.

Teaching Scholars: these academics hold an associate or full professor positions who have acquired at least ten years of work experience in either research or industry relevant to a particular field or discipline. They have made personal and professional achievements in developing a national and international reputation for excellence in the SoTL. Teaching scholars improve teaching and learning practices in the Discipline/School/College/University consistently. They substantially influence pedagogy and assessment design and delivery. Teaching scholars attract considerable research grants from external sources into the University whilst initiating international research collaboration evidenced through memoranda of understanding that support teaching and learning initiatives. They actively develop the next generation of academics in teaching and learning.

University Service: relates to a sustained level of accomplishments that execute the vision, mission, goals, objectives and values of the University. Candidates for appointment or promotion could present evidence of successful administrative, marketing or planning work in the University, College, School or Discipline. Other examples include: participation in University governance and policy-making and implementation; leadership or involvement in academic or professional organisations that yield contributions to the wider University community; public representations on behalf of the University in an official or professional capacity and image-enhancement that strengthens the University's relationship with students, employers, graduates, professional bodies; and the wider society.

Visiting Academic: refers to teachers, researchers or professionals visiting the University of KwaZulu-Natal for periods of one (1) year or more with some affiliation with the University. They enjoy certain privileges, while undertaking teaching and/or research or adding value to our academic activities. The following titles are available: Visiting Professor, Visiting Academic, Visiting Professional (for persons not pursuing an academic career), Artist in Residence, Judge in Residence and adjunct academic.

21. Policy Effective Date

This Policy shall be effective from 01 January 2023 or as determined by Council.

22. Policy Review

Every Five (5) years with medium term review effective from the date of implementation of the Policy or as may be determined by Senate from time to time.

23. Duration of Task Team

Task Team to remain a Standing Committee of Senate until the next round of Policy Review

PART II: PROCESSES AND PROCEDURES FOR ACADEMIC APPOINTMENTS/ PROMOTIONS

The processes and procedures described in this document affect the Policy on academic appointments and promotions of the University of KwaZulu-Natal.

1. Context and Purpose of Processes/Procedures

1.1. This document supports the implementation of the Policy on Academic Appointments and Promotions. Contextually, the process of Academic Appointment and Promotion is an overarching one, complemented by various sub-processes to implement the Policy. The processes and sub-processes are executed by procedures. In other words, the purpose of this document is to establish and delineate the physical tasks, document flow and the proper framework to ensure effective and efficient implementation of the Policy. The processes and procedures apply to all permanently appointed academics and also employees on long term contracts (including those in research units and centres) of more than two years who may seek appointment and/or promotion to any academic level. These academic levels are Lecturer, Senior Lecturer, Associate Professor, Full Professor, Research Scholar, Research Professor, Teaching Scholar and Leadership Scholar. Individuals external to the University, such as experts, referees and assessors, will be guided by these processes and procedures.

1.2. These processes and procedures, along with the relevant annexures, shall be read in conjunction with Part I (The Policy), Part III (Guidelines), and Part IV (Annexures). Annexures 1 and 11-16 respectively provide the forms, letters and templates for executing processes and procedures. Annexures 2 to 10 establish criteria for evaluation of Scholarship for appointments and promotions to a particular academic level, whilst annexures 17 to 21 present the process flow for appointments and promotions.

2. The Call for Academic Appointments and Promotions

2.1. Staff will be made aware of the promotion application process on an annual basis by the Executive Director, Human Resources (ED HR), who is the academic appointment and promotion process owner. The invitation for applications shall be published by the ED HR on the University website on 1 February and close on 31 March every year as reflected in the appointment and promotions Schedule (Part IV, Annexure 21). Appointments may be conducted alongside promotions. Appointments to positions such as Academic Leader, Dean & Head of School, DVC, and fast track appointments shall be undertaken as out of cycle processes.

The School Operations Managers will, following the publication of the call for appointments and promotions by the ED HR, immediately publish the call in their respective Schools.

2.2. The ED HR shall make available on the Inner Web of the University the following documents related to academic appointments and promotions:

2.2.1. The Application Form (Annexure 1);

2.2.2. The Policy, Processes/Procedures, Guidelines and Annexures;

2.2.3. Any other resources to assist applicants in preparing and completing the Application.

2.3. All materials included in the application for appointment or promotion shall be made available to the selection committee if requested.

2.4. The School Operations Manager shall forward the applications to the respective Dean and Head of School after the closing *date for the submission of the applications but no later than the 15th of April of the year in which the candidate files the application. The Dean and Head of School will prepare all the applications for the selection committee.

2.5. The Deans and Heads of Schools/DVCs (as the case may be) shall constitute the selection committee and appoint referees or assessors between 16 – 30 April of the year in which the candidate submits an application for promotion.

2.6. The Dean & Head of School shall dispatch the candidates' dossiers to Assessors between 1-15 May. The Assessor reports on the candidates shall be due between 15 June and 15 July of the same year that the candidate applied for promotion.

2.7. The Dean & Head of School shall also dispatch the candidates' teaching portfolio of evidence, clinical portfolio of evidence or/and the community engagement portfolio of evidence (as the case may be) to the Chair persons of the respective portfolio evaluation committees on 15 May. The reports will be send to Dean and Head of School by the Chair persons of respective evaluation committee by 15 June.

2.8. Application for promotion by the candidate shall be voluntary or as a recommendation by either the line manager [through the Integrated Talent Management process] or a senior colleague/peer who is familiar with the candidate's academic trajectory in consultation with the Dean and Head of School.

2.9. Candidates are advised to hold consultation with Deans and Heads of their respective Schools prior to submitting their applications. For candidates applying to positions of Teaching Scholar, Research Scholar, Leadership Scholar, and Research Professor, they are advised to hold consultations with their respective College DVCs and DHOs prior to submitting their applications.

3. Method of Application for Appointment and Promotion

3.1. Applicants shall meet the eligibility requirements for appointment or promotion to the appropriate academic level outlined in the Policy on Academic Appointments and Promotions (see Annexures 2 to 10) that provide the criteria for appointment or promotion to a particular academic level.

3.2. Applicants are strongly advised to seek guidance and discuss their applications with:

3.2.1. Their line manager or senior colleagues /peers who are familiar with the appointment promotion processes.

3.2.2. Their Dean and Head of School prior to submission of the application.

3.3. Applicants shall submit as part of their application:

3.3.1. Application Form (Annexure 1);

3.3.2. Curriculum Vitae (Annexure 1, Section D);

3.3.3. Publication List (Annexure 1, Section E);

3.3.4. A mini Teaching, Clinical or Community Engagement portfolio of evidence as the case may be (see guidelines provided in Annexures 13, 13b and 13c respectively).

3.4. Applications for academic appointment and promotion shall be made on the appropriate prescribed form(s) available from the Division of Human Resources website of UKZN

3.5. Applications for promotion that do not conform to the standardised format set out in Annexure 1 will not be processed.

3.6. It is the responsibility of the applicant to ensure that their application is forwarded to the School Operations Manager as outlined in the published call for an appointment and/or promotion within stipulated deadlines or by the closing date.

3.7. Cases of misrepresentation by applicants that may be discovered by the selection committee shall be referred to the respective line manager by the Dean and Head of School within ten days from the date of the selection committee meeting for further action according to University HR processes.

3.8. Candidates who re-apply after an unsuccessful promotion attempt shall indicate in their submission what has been achieved since the previous promotion application.

3.9. Applications are considered final when submitted. Applicants may not submit further supporting evidence, documentation or information related to their application once submitted.

4. Submission of Applications for Academic Appointments and Promotions

4.1. Applicants for promotion shall electronically submit their applications by email to the School Operations Manager in the prescribed format (Annexure 1) not later than 31 March.

4.2. The School Operations Manager will acknowledge receipt of each application for appointment and/or promotion within 48 hours of receiving the applications in writing to the applicants.

4.3. The Dean and Head of School will request a recommendation from the independent assessor/referee, and/or *line manager (see Annexures 12, 14, and 15 respectively) (* where the line manager is the Dean & Head of School, the role of providing supervisor report on the candidate may be delegated to the Academic Leader of the Discipline OR a senior academic familiar with the work of the applicant).

4.4. The School Operations Manager will provide a full copy of the application form and all supporting documents to the relevant Dean and Head of School within five (5) days after the closing date of receiving applications (and not later than 1-15 of April) in preparation for the sitting of the selection committee.

4.5. The Dean and Head of School shall:

- 4.5.1. Read the application in full;
- 4.5.2. Verify the application and supporting documents in consultation with the line manager.

4.6. Once the relevant selection committee has met, applicants cannot withdraw their application unless they have:

- 4.6.1. Accepted a position in another institution, or
- 4.6.2. Resigned from the University.

5. Composition and Function of Selection Committees

5.1. There shall be separate selection committees for an appointment and/or promotion to the following positions: Associate Professor, Full Professor, Teaching Scholar, Research Scholar, Research Professor, Leadership Scholar; Senior lecturer, Lecturer, DVCs, Deans and Academic Leaders.

5.1.1. Membership of the Selection Committee for Appointment or Promotion to the Professoriate Levels: The selection committee for appointment or promotion to the professoriate shall consist of:

- DVC of the College OR Dean and Head of School as chair

- 2 Discipline representatives
- 2 School Representatives at the professoriate level
- At least one external expert (from outside UKZN) in the Discipline at the professoriate level
- 1 union representative who is an academic.
- Senate rep who is an academic from another college
- DVCR, DVCTL, UDR, ED HR, Director QPA (who shall be standing members of selection committee)

The Quorum shall be Eight (8) members including Dean and Head of School, DVC of College, , 1 Discipline rep, 1 School rep, 1 expert external to UKZN, 1 Union rep who is an academic, ED HR and 1 rep drawn from standing members of committee (i.e. DVCR, DVCTL, UDR).

5.1.2 Membership of the Selection Committee for Appointment/Promotion to Teaching Scholar, Research Scholar, (Research Professor by appointment only), Leadership Scholar and for extension beyond retirement applicants shall comprise:

The selection committee for appointment to these positions shall consist of:

- DVC of the College as Chair
- Dean and Head of respective School
- DVCR
- UDR
- DVCTL
- College Dean, TL
- College Dean R
- ED HR
- 2 Discipline reps
- 1 Union rep who is an academic
- 1 external expert from outside UKZN at the rank of professoriate.

The **Quorum** shall be **Eight** (8) members of the selection committee, including DVC of College, DVCR, OR CDR, DVCTL OR, CDTL, Dean and Head of School, 1 Discipline rep, 1 Union Rep, ED HR and 1 external expert.

5.1.3 Membership of the Selection Committee for Appointment or Promotion to Senior Lecturer Level

The selection committee for appointment or promotion to Senior Lecturer shall consist of:

- Dean and Head of School as Chair
- 1 Senate rep from another college
- 1 Discipline rep (at the level of senior lecturer or above)
- Discipline academic leader
- 1 union rep who is an academic
- 1 School rep
- College HR Manager (non-voting)

The **Quorum** shall be Six (6) members of the selection committee including Dean and Head of School, 1 Senate rep from another college, 1 union representative who is an academic, 1 discipline rep, 1 School rep, Discipline academic leader and College HR Manager (non-voting).

5.1.4 Membership of the Selection Committee for Appointment to Lecturer Level (including credentialing)

The selection committee for appointment to Lecturer level (including credentialing shall consist of:

- Dean & Head of School as Chair;
- Academic Leader (Research and Higher Degrees);
- Academic Leader (Teaching and Learning);

- Discipline academic Leader
- 1 Union rep who is an academic
- 1 School rep
- HR Manager/Consultant

The **Quorum** shall be **Six (6)** members of the selection committee, including Dean & Head of School, Discipline Academic Leader, 1 Union rep, AL (RHD), AL (TL), 1 School rep and College HR Manager (non-voting).

5.1.5. Selection Committee for Appointment or Promotions of Deans and DVCs

The Selection Committee for the appointment and promotion of Deans & DVCs shall comprise:

- Vice-Chancellor as Chair;
- Deputy Vice-Chancellor (Research);
- Deputy Vice-Chancellor (Teaching and Learning);
- All non-conflicted Deputy Vice-Chancellors;
- 1 Dean & Head of School from another College
- ED HR.

The Quorum shall be Six (6) members of the selection committee, including Vice Chancellor, DVCR, DVCTL, 1 CDVC, 1 Dean and Head of School from another college, and ED HR.

The DVCs and Deans will be subject to the same criteria for academic appointment and promotion or may opt to be evaluated on Leadership Scholar criteria or other specialised scholars career pathways. Appointment of Deans and DVCs shall follow out of cycle process while promotion may be aligned with the single-cycle annual process.

5.1.6. Selection Committee for Appointment and Promotion of Academic Leaders

The Selection Committee for the appointment and promotion of Academic Leaders shall comprise:

- Dean & Head of School as Chair;
- Academic Leader, RHD (if non conflicted);
- Academic Leader, T&L (if non conflicted);
- 1 union rep who is an academic;
- 1 Discipline Academic Leader from another School within the College;
- 1 Senate rep from another College;
- 1 School rep;
- 1 Discipline rep.

The Quorum shall be Seven (7) members of the selection committee, including Dean & Head of School, 1 Discipline Academic leader from within the college, 1 Union rep , 1 senate rep (from another college) 1 Discipline rep, 1 school rep, and AL (RHD) OR AL (TL).

The appointment and promotion of Academic Leaders shall follow any of the following career pathways:

- General criteria career pathway
- Leadership Scholar career pathway
- Academic Leader career pathway
- Community Engagement career pathway if applying for Senior Lecturer.

The appointment of Academic Leaders shall follow out of cycle process while promotion of such leaders will be aligned with a single-cycle process per annum.

For appointment /promotion to an academic leadership position, the applicant shall be at the senior lecturer level or above. In addition, at least proven experience in leadership and university administration at the discipline level is a requirement. This position is a fractional and developmental appointment (30%) for a fixed term contract of three years.

5.1.7. Selection Committee for Fast Track Appointments and Promotions

The Selection Committee for fast-track appointment and promotion processes shall comprise:

- DVC & Head of College as Chair;
- Dean & Head of School
- CDTL
- CDR
- Academic Leader of Discipline
- College HR Manager

The Quorum shall be five (5) members of the selection committee, including DVC & Head of College; Dean & Head of School; CDTL, CDR; Academic Leader of Discipline; and College HR Manager (Non –voting)

5.1.8. University Appointment and Promotion Committee (UAPC):

The University Appointment and Promotion Committee (UAPC) shall comprise: Vice-Chancellor (Chair or as may be delegated); DVCTL; DVC Research; College DVCs and ED HR.

5.1.9. The Quorum shall be Five (5) to include: VC/or designate, one (1) College DVC, DVCTL, DVCR, ED HR.

5.1.10. The UAPC would be the final arbiter for appointments and promotions recommendations from the Schools.

5.2. Roles of the Selection Committee Members:

The Selection Committee members beyond the Chair play several roles:

5.2.1. Generally, take all evidence, including assessors' or referee reports, into account and triangulate the evidence to arrive at an outcome.

5.2.2. Consider the peer reviews provided by the assessors or referees alongside the evaluation of the candidate by the selection committee in coming to a decision to promote a candidate or not. Confidentiality of information provided in the report(s) of assessors and referees shall be preserved.

5.2.3. There are internal and external pools of academics considered as independent members of the selection committee. Their role is to provide insights and advice across the four fields of academic practice – Teaching and Learning; Research and Innovation; Leadership and Administration, and Academic Citizenship.

5.2.4. The Chair of the selection committee may replace a member from the internal or external pool with another person from the same pool, having regard for disciplinary balance and on account of expertise in consultation with the Discipline academic leader.

5.2.5 The expert(s) external to UKZN will serve as the Discipline expert(s) in the field of the applicant. The external experts selected shall be at the professoriate level.

5.2.6. One representative from organised labour who is an academic will serve the role of an academic observer who will:

5.2.6.1. Act as a participatory observer to ensure procedural fairness (adherence to policy and procedure, best practice, and fairness in decision-making).

5.2.6.2. Bring to the attention of the Chair any concerns at any point in the proceedings, but preferably at the point of occurrence during the process.

5.2.6.3. Represents all unions and be drawn from a group of academic staff approved by Unions on an annual basis. The list of union representatives to serve on a selection committee in a given year will be provided to the Deans and Heads of Schools by ED HR annually in time for the constitution of the selection committees between 16-30 April by the Dean and Head of School.

5.2.7. College Human Resources staff members, on the one hand, shall attend the selection committee meetings and provide guidance to ensure procedural and substantive fairness in line with the Integrated Talent Management Framework and other related policies. The Director HRD, on the other hand, will orientate selection committee members into the procedures and practices of the Academic Appointment and Promotions process from time to time as maybe required.

5.2.8. For applicants from professional disciplines and adjunct positions:

5.2.8.1. An additional member who is practicing in that profession external to the University and independent of the applicant shall be added by the Dean and Head of School to the selection committee.

5.2.8.2. Where the joint staff member is to be considered for promotion at UKZN, the selection committee, an additional staff member from the partner organisation will be included to the selection committee by the Dean and Head of School. However, where the joint staff member is to be considered for appointment and given that staff members from partner organisations are not necessarily academics and therefore do not hold academic titles, the Dean and Head of School may appoint up to two more individuals to achieve the balance of the selection committee.

5.2.8.3. For Adjunct positions, where the recruitment falls under the partner organization (joint staff member appointed by the partner organization), the selection committee will include at least three academic members of UKZN, namely, the DVC of the relevant College (Chair), the Dean and Head of School where the staff member is affiliated, and a senior academic staff member from the relevant discipline.

5.2.8.4. Where the appointment is below Adjunct Full Professor, the DVC may delegate to the Dean and Head of School (as Chair) and include another UKZN academic staff member from the School to the selection committee.

5.2.8.5. For Adjunct positions, following the appointment and thereafter when applying for promotion, the selection committee with at least one academic staff member from the partner organisation shall be included on the selection committee to comment on the service component of the applicant.

5.2.9. The Dean and Head of School shall constitute the selection committee in April of the year in which the candidate applies for promotion.

5.2.10. No more than one Senate Rep may be drawn from the same School.

5.3. Duration of Service of Selection Committee Members

5.3.1. Members of the selection committee may serve for a period of not more than three years.

5.3.2. The Chair of the selection committee shall serve for the period of his/her tenure as VC, DVC or Dean and Head of School.

6. Referees and Independent Assessors: Nomination, Selection and Function

Prior to the documentation serving at the selection committee, the Dean and Head of School shall undertake certain action regarding the selection of referees or assessors depending on the academic level for which a candidate applies:

6.1. Candidates for appointment/promotion to Lecturer or Senior Lecturer

The Dean and Head of School will invite applicants to nominate up to four referees, at least one of whom shall be internal to the University. The Dean and Head of School, in consultation with the academic leader of the relevant discipline, will select three from the four to provide assessment reports on the applicant. Should the nominated referees by the candidate be unsuitable the Dean will request for more names with the help of the line manager.

6.1.1. Internal referees shall hold the position of senior lecturer or above within the University.

6.1.2. External referees are expected to hold national or international standing in the applicant's field of expertise.

6.1.3. Applicants shall not nominate individuals who are likely to serve on the selection committee as referees.

6.1.4. Applicants with a personal, professional or other ongoing relationship with any proposed Referees shall declare this information in their application form.

6.1.5. The Deans and Heads of Schools will provide the referees with copies of the candidate's application, and CV. The Dean and Head of School will request the selected referees to complete the candidate evaluation template.

6.1.6. Referees will be expected to return their written reports to the Dean and Head of School within four weeks of receiving the applicant's application and supporting documentation.

6.1.7. The referee reports will not be forwarded to the applicant at any stage of the process, including after the outcome of the application is known.

6.2. Candidates for Appointment or Promotion to Associate Professor

The Dean and Head of School will invite the respective Discipline leaders and the applicant to nominate up to six assessors drawn from national and international reputable universities at the level of associate professor and full professors who are independent of the applicant and have achieved impeccable academic and research standing in the Discipline.

6.2.1. The assessors will be vetted by a sub-committee of three professors in the School appointed by the School Board and chaired by the Dean and Head of School. Three assessors will be selected by the sub-committee to evaluate applicants. The assessors selected shall consist of two national and one international expert in the field of the candidate. Strong researchers who are associate professors with impeccable academic standing in their Disciplines may be considered assessors for associate professor applications. Should the nominated assessors by the candidate/discipline be unsuitable the Dean will request for more names with the help of the line manager.

6.3. Candidates for Appointment or Promotion to Full Professor

The Dean and Head of School will invite the respective Discipline leaders and the applicant to nominate up to six assessors drawn from national and international reputable universities. The assessors should be at the level of full professors who are independent of the applicant and have achieved impeccable academic and research standing in the discipline.

6.3.1. At least three of the nominated assessors shall be international experts in their Discipline and drawn from academics who are at the level of full professor and independent of the applicant.

6.3.2. The six nominated assessors will be vetted by a sub-committee of three professors in the School nominated by the School board and Chaired by the Dean and Head of School. Three assessors selected shall consist of one national and *two international experts in the field and independent of the applicant to evaluate the applicant (* in scarce skills and isiZulu Disciplines, two professors may be sourced from highly ranked national institutions). Should the nominated assessors by the candidate/discipline be unsuitable the Dean will request for more names with the help of the line manager.

6.3.3. Candidates for appointment or promotion to Teaching Scholar, Research Scholar, Research Professor and Leadership Scholar.

The DVC and Head of College will invite the respective Discipline leaders and the applicant to nominate up to six assessors drawn from national and international reputable universities. The assessors shall be at the level of associate and/or full professors (as the case may be) who are independent of the applicant and have achieved impeccable academic and research standing in the discipline. Should the nominated assessors by the candidate/discipline be unsuitable the Dean will request for more names with the help of the line manager.

The appointment of this cadre of scholars may follow an out of cycle process or be integrated within the annual promotion process.

6.4. Non-selection of Potential Assessors

For applications to both associate professor and full professor levels, although the applicant is not apprised of the identity of nominated assessors (except those nominated by the applicant), the applicant may indicate in their application form any potential assessors whom they prefer not to be selected. Applicants shall provide a short, written justification for any such requests. The Dean and Head of School may also requests more assessors from discipline and/or candidates should those provided be found unsuitable.

6.5. Final Selection of Assessors

The Dean and Head of School shall constitute and chair a sub-committee of three members of the professoriate in the School to make the final selection of three assessors (for the associate and full professor candidates) from the six nominees that will have been nominated by the Discipline (50%) and the applicant (50%). The three vetted and selected assessors will be asked to submit reports on the applicant. Should the nominated assessors by the candidate be unsuitable the Dean will request for more names with the help of the line manager.

6.6. Pool of Nominated Assessors

The pool of nominated independent external assessors each shall:

6.6.1. be an expert within the relevant Discipline with a significant publication track record or recognised as distinguished leader in their field.

6.6.2. have national or international standing in their disciplines.

6.6.3. be free of any conflict of interest.

6.7. De-selection of Nominated Assessor

The Chair of the selection committee may disallow any nominated independent external assessor by the applicant or the Discipline who fails to meet the specific selection criteria. In such cases, the Dean and Head of School shall request a replacement name from the discipline.

6.8. Avoidance of Assessors with Potential Conflicts of Interests

The assessors selected shall not be current or former advisors, collaborators, post-doctoral supervisors, close personal friends, or others having a relationship with the candidate, which could reduce objectivity.

6.9. Former UKZN Employees for Consideration as Assessors

A previous staff member of UKZN shall not be selected as an assessor should the vetting committee establish potential conflict of interest with the candidate.

6.10. Documentation for Assessors

The Dean and Head of School will send independent external assessors or referees:

6.10.1. An invitation to provide an independent assessment report;

6.10.2. The relevant areas of Scholarship evaluations for appointment and promotion to a particular academic level to which the candidate aspires (See Annexures 2 to 10);

6.10.3. Assessor template (Annexure 12);

6.10.4. A copy of the complete application, including CV and any other supporting documents (excluding the line manager report);

6.10.5. The mini – Teaching portfolio, Clinical portfolio and Community engagement portfolio of evidence shall be assessed internally by CTPAC, School Clinical Portfolio Assessment Committee, SCPAC, and CCEPAC which are standing committees.

6.11. Due Date for Assessors'/Referees Reports

Independent external assessors shall be requested to return their reports to the Dean and Head of School within 30 days of receiving the dossiers of the applicants.

6.12. Evidentiary Review by Referees and Assessors

6.12.1. Referees and assessors are to be guided by the assessment and evaluation of Scholarship criteria for appointment and promotion to a particular academic level (Annexures 2 to 10) and in conformance with the weighting and scoring procedures stated therein.

6.12.2. Referees and assessors shall be required to provide a holistic evaluation of the applicant, guided by the areas of Scholarship, namely: Teaching and Learning; Research and Innovation; Leadership and University Administration; and Academic Citizenship and score the candidate on a scale of 1-5 (with one being the lowest and five the highest)

6.12.3. Referees and assessors shall substantiate their rating for each component of the assessment by providing reasons based on available evidence. This substantiation is the basis by which a rating may be accepted as objective instead of an inadequate substantiation. The latter is deemed a subjective opinion, which is unacceptable.

6.13. Non-disclosure of Reports of Referees and Assessors

The reports of referees and independent external assessors are confidential. They will not be forwarded to the applicant at any stage of the process, including after the outcome of the application.

7. Procedure of Considering an Applicant for Appointment or Promotion by Selection Committee

7.1. In considering an applicant for promotion:

7.1.1. The selection committee shall use the same process in considering applications for both academic appointment and promotion. In the event that this process cannot be completed in one sitting, another subsequent meeting will be arranged by the Dean and Head of School.

7.1.2. If there is no appointment process taking place in a particular Discipline during the year, a selection committee will only consider applications available for promotion and vice versa.

7.1.3. An out-of-cycle or Fast Track appointment or promotion process may be convened any time of the year if there are cases to consider. In this case, an expedited assessor review or referee process will be arranged by the Dean & Head of School.

7.1.4. In any event, the selection committee will consider the documentation (including assessor or referee reports) before it in the same manner as for promotion process, which sets the academic level for appointment or promotion.

7.1.5. There is no shortlisting and interview process for the promotion of applicants.

7.1.6. Selection committees shall confirm all processes and procedures including the criteria for appointment and promotion for the respective levels.

7.1.7. The selection committee shall rely upon the criteria for evaluation of Scholarship for appointment and promotion to a particular academic level (in Annexures 2 to 10) and employ the relevant weights and scores holistically in evaluating the candidate.

7.1.8. The selection committee shall meet to consider applications for appointments/promotions from 1 August – 30 September of the same year candidates submit their applications (except for out of cycle processes).

7.1.9. The decision of the selection committee is final. However, an applicant may request a review of the process if s/he believes that there may have been a significant degree of unfairness in the procedure or the outcome followed unreasonable assessment criteria.

7.1.10. Candidates will only be considered for promotion at the level they have applied.

7.2. In addition, the Selection Committee shall:

7.2.1. Consider what has been achieved in the four areas of evaluation since last promotion or appointment to a particular level and, total achievements.

7.2.2 Recognise that Scholarship has many different components, and evaluation of achievement should be a holistic one that weighs different elements to make an overall, integrated conclusion. The evaluation should consider the level of gravitas associated with each level, especially for appointment or promotion to full professor.

7.2.3. Understand that candidates for appointment to lecturer level should demonstrate the potential to excel and progress to higher levels. Therefore, a holistic evaluation of the candidate's academic performance to date, their attempts and efforts to engage in academia beyond their studies (for example, tutoring work, student mentors, work as research assistants and more) should form part of the evaluation.

7.2.4. Consider evidence of the candidate's contribution towards the transformation objectives of the institution. Examples are curriculum review; teaching approaches that emphasise African epistemologies; research that has a direct or potential policy or societal impact on marginalized communities. In addition, a high quality that engages and encourages Global South collaborations, the effective building of a new

generation of academics; support to staff that promotes under-represented groups, advancement of diversity in research groups, and other noteworthy initiatives shall be taken into consideration.

7.2.5. Reflect upon the evidence presented by the candidate regarding the inter-play between successful supervision of post-graduate students and research outputs. In some disciplines, post-graduate supervision opportunities at the Masters and PhD levels may be limited, in which case increased research publications would be expected. Irrespective of the Discipline, in an application to the rank of associate professor or full professor, the academic is required to demonstrate a standing within the discipline on the basis of own research, in addition to successful postgraduate supervision, especially at the doctoral level, bearing in mind disciplinary peculiarities.

7.2.6. Recognise that the University is committed to retaining high-quality staff. To enable the University to respond rapidly to opportunities to retain high-quality staff, a fast-track promotion procedure will be exceptionally applied in circumstances of retention, as deemed appropriate by the relevant DVC of College, in consultation with the Dean/ Head of School. The selection committee will apply its mind about whether a fast track promotion is warranted and should only be considered where the case is strong (i.e. the decision can relatively be easily made).

7.2.8. Refer to the assessor for clarification of any report with a rating that the selection committee views as an unsubstantiated opinion. The Dean and Head of School would be the person to seek additional substantiation from the assessor. Nevertheless, the confidentiality of information/report(s) provided by reviewers/assessors shall be preserved.

7.2.9. Ensure that any conflict of interest between an applicant and a member of the selection committee is disclosed at the beginning of the meeting. The Chair is to determine whether the conflict is such that the conflicted member shall:

7.2.9.1. Leave the room during the discussion and recommendation.

7.2.9.2. Remain in the room but not take part in the discussion and recommendation.

7.2.9.3. Remain in the room and answer questions but not take part in the discussion and recommendation.

7.2.9.4. If the Chair determines that no conflict of interest exists, the member may fully participate in the discussion and recommendation. Examples of conflict of interest may include: the applicant is a relative, close friend or close collaborator with the selection committee member. This would require the member to leave the room.

7.2.9.5. Where the Dean and Head of School is conflicted, the DVC shall assume the Chair when the matter of that candidate is discussed. Should the DVC experience a conflict of interest, he/she shall delegate the role of Chair to a member of the selection committee during the consideration of that applicant. Should the DVC not be present, the selection committee members will appoint one senior most academic from among themselves to Chair the session for that particular candidate.

7.2.9.6. Where an unsuccessful candidate reapplies for an appointment and/or promotion, efforts should be made to use the same assessors who served in the previous process, if possible so that, the goal posts are not shifted to the disadvantage of the candidate.

8. Procedure for Weighting and Scoring of Candidates by the Selection Committee

8.1. Consideration and evaluation of applications for promotion shall be undertaken against specific criteria, scores and weightings relevant to the position concerned.

8.2. Proof of performance exceeding the norm of the current level, assessed and rated in terms of the candidate's key performance agreements, may be considered.

8.3. Whereas the evaluation and appraisal of an academic employee aims to assess the employee's career and performance over time; evidence is required that a candidate for promotion meets the criteria set for the level to which the employee aspires.

8.4. Where evidence exists that a candidate for promotion performs significantly higher than required in one or more areas of evaluation, an exception may be made regarding the requirement of a balanced profile as is contemplated in a holistic manner.

8.5. For candidates working in a field where teaching and learning and research and innovation take the form of creative, performing or artistic work, legal practice, clinical practice (including nursing and public health, laboratory medicine and medical sciences), accounting/finance/auditing, law, architecture, , applied human sciences (professional disciplines), engineering and scarce skills disciplines; specific criteria and requirements for the appropriate acknowledgement of the achievements concerned are separately provided.

8.6. The purpose of the selection committee weighing and scoring achievements of candidates is to:

8.6.1. Provide clear criteria for consistent application in evaluating the performance of academic staff for promotions and appointments;

8.6.2. Serve as a guideline, a metric, an aid and an additional lens to evaluate an academic employee's readiness for promotion;

8.6.3. Navigate a means of determining academic excellence;

8.6.4. Allow comparisons of academic employees at different levels of seniority to facilitate consistency in evaluations from one year to the next and from one candidate to the other;

8.6.5. Emphasise the relative importance of a specific academic level in achieving the agreed goals.

8.7. The scores required for appointment or promotion varies as follows:

8.7.1. Lecturer through credentialing, the applicant shall meet the requirements specified in Annexure 2 and obtain a minimum score of 250 points (sum of all weighting x score in each assessment area);

8.7.2. Lecturer through appointment, the applicant shall meet the criteria established in Annexure 3 and obtain a minimum score of 250 points;

8.7.3. Senior Lecturer, the applicant shall meet the criteria established in Annexure 4 and obtain a minimum score of 300 points;

8.7.4. Associate Professor, the applicant shall meet the criteria established in Annexure 5 and obtain a minimum score of 350 points;

8.7.5. Full Professor, the applicant shall meet the criteria established in Annexure 6 and obtain a minimum score of 400 points;

8.7.6. Research Scholar, the applicant shall meet the criteria established in Annexure 7 and obtain a minimum score of 450 points;

8.7.7. Research Professor, the applicant shall meet the criteria established in Annexure 8 and obtain a minimum score of 450 points;

8.7.8. Teaching Scholar, the applicant shall meet the criteria established in Annexure 9 and obtain a minimum score of 450 points;

8.7.9. Leadership Scholar, the applicant shall meet the criteria established in Annexure 10 and obtain a minimum score of 450 points.

8.7.10. Although these guidelines need to be followed as closely as possible, they should not be seen to be exclusive or exhaustive. In applying these guidelines, the rigours of an applicant's particular 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 other comparable institutions.

8.7.11. A decision to promote or not to promote should be the outcome of a qualitative peer-review process, and these guidelines are intended to assist in ensuring that the process is both transparent and equitable. The outcome shall not be determined mechanistically or quantitatively. A holistic approach taking into consideration all criteria of minimum and promotion should be used. In each instance, the question should be whether the applicant has met the appropriate standard envisaged in the guidelines, irrespective of whether any quantitative measures have been met precisely.

8.7.12. 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 the appointment or work considered in respect of a previous promotion will not be considered direct evidence of meriting promotion or further promotion. The focus will be on indicators of professional attainment completed while employed at the University of KwaZulu-Natal particularly since appointment to the current position and within the last five years.

8.7.13. All promotions are "personal to the holder"; in other words, the promotion decision is not dependent upon any vacancy. 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 initially 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.

8.8. Voting by the Selection Committee

For applications for promotion, a majority of the committee members (excluding the Chair) but including at least a Senate representative or the external representative shall support the appointment or promotion to the agreed level. If there is a tie in the decision, the Chair makes the deciding casting vote.

9. Academic Appointments and Promotions in Creative and Performing Arts

(Acknowledgement is made specifically to academic appointment and promotion policies of the University of Cape Town).

9.1. Candidates for Associate Professor in the Creative and Performing Arts Academics applying for the rank of associate professor in the Creative and Performing Arts should have produced significant creative outputs.

9.1.1. In Fine Arts, such outputs include solo exhibitions with catalogue.

9.1.2. In Music:

9.1.2.1. For Musicology: artistic deliverables comparable to research outputs in other disciplines in the School.

9.1.2.2. For Performance: emerging specialised repertoire with national and some international recognition.

9.1.2.3. For Direction: original presentations of existing and new productions such as operas that are locally and nationally recognised, with emerging international recognition.

9.1.2.4. For Composition: prestigious national commissions, local and national performances by distinguished performers.

9.1.3. In Drama, the candidate may be a director, performer, designer, playwright, Dramaturge, choreographer or in applied theatre, the candidate may be a process facilitator or a combination of any of these. Such creative projects may typically entail:

9.1.3.1. A corpus of original presentations of existing and/ or new productions; and/ or a record of significant applied theatre projects and interventions; and/ or

9.1.3.2. Original embodied processes in the domain of performance, such as voice or movement/ dance, which has attracted local, national and emerging international recognition.

9.1.4. In Dance, such creative outputs may typically include:

9.1.4.1. For Choreography: a collection of original choreographed performances which have attracted local, national and emerging international recognition through reviews.

9.1.4.2. For Performance: national recognition through invitations to perform.

9.1.4.3. Directions: invitations to the prestigious companies.

9.1.5. In Creative Writing, such creative outputs may typically include:

9.1.5.1. A published novel or novella available from a good imprint, stories, literary essays, poems and serious literary reviewing.

9.2. Candidates for Full Professor in the Creative and Performing Arts

Academics applying for the rank of full professor in the Creative and Performing Arts should have an international reputation as a researcher and producer of creative work in the field. Evidence may include, *inter alia*, regular citation and review, or invitation to exhibit, curate, direct, compose or perform. Candidates may be a leader of a major research group/ creative work group, and/or the driver of a well-received, documented creative project.

9.2.1. In Fine Arts, such a project may typically be:

9.2.1.1 A major local or international solo exhibition attracting international recognition, displayed, for example, by review in academic and/or professional journals;

9.2.1.2. Commentary by international peers in the exhibition catalogues.

9.2.2. In Music, projects may entail:

9.2.2.1. For Musicology: artistic deliverables comparable to research outputs in other disciplines in the School.

9.2.2.2. For Performance: usually, development of a specialised repertoire which has gained national and international recognition (demonstrated through international performances and/ or collaboration with international artists and/ or publication/ recordings).

9.2.2.3. For Direction: original presentations of existing and new productions such as operas which are nationally and internationally recognised (demonstrated by example through prestigious invitations to stage productions).

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

9.2.3. In Drama, such creative projects may typically comprise:

9.2.3.1. Original presentations of existing and/ or new productions; and/ or

9.2.3.2. A record of significant applied theatre projects and interventions;

9.2.3.3. Original embodied processes in the domain of performance, such as, but not limited to, voice or movement/ dance. These would have attracted national and international recognition, international reviews or serious consideration in academic publications.

9.2.4. In Dance, such creative outputs may typically include:

9.2.4.1. For choreography: a collection of original choreographed performances which have attracted local and international recognition.

9.2.4.2. For Performance: national and international recognition through invitations to perform.

9.2.4.3. For Direction: invitations to direct nationally and internationally with prestigious companies.

9.2.5. In Creative Writing, such creative outputs may generally reflect:

9.1.5.1 A significant body of work that has attracted national and international recognition and has received international reviews and serious literary appraisal.

10. Procedures for Obtaining Qualifications Exemption in Professional Disciplines

10.1. Qualification Exemption for Appointment or Promotion to Senior Lecturer Level

10.1.1. The Academic Appointment and Promotion Policy allows certain exemptions to the minimum requirement of PhD status of an applicant for promotion to senior lecturer level. This exemption is specific to identified Disciplines that endow academics with scarce skills or equip them for professional practice.

10.1.2. Procedurally, the exemption only applies to those seeking appointment or promotion to senior lecturer level. The PhD minimum requirement is the only exemption.

10.1.3. All other requirements for senior lecturer level appointment or promotion remain firm. These candidates are evaluated in the standard four areas of evaluation and shall meet the other criteria detailed in Annexure 4 for academic appointment or promotion to senior lecturer level.

10.2. Economic and Management Sciences Professions

Applicants in certain Economic and Management Sciences Disciplines can be appointed or promoted to senior lecturer without a PhD in the following professions:

10.2.1. Accounting and Finance where the candidate has qualified as a Chartered Accountant (CA [SA]), a Chartered Financial Analyst (CFA), a Chartered Management Accountant (CMA), a Certified Financial Planner (CFP), a Certified Internal Auditor (CIA), CIMA qualification and SAIPA qualification.

10.2.2. Applicants holding a professional qualification may be appointed as lecturers in lieu of a master's degree, or in lieu of a doctoral degree for appointment/promotion to senior lecturer level so long as they have five years' professional experience.

10.2.3. Other than the exemption for a doctoral degree for appointment/promotion to senior lecturer level, the rest of the criteria delineated in Annexure 4 remain firm.

10.3. Clinical and Pathology Disciplines

10.3.1. Procedural implementation of the PhD exemption applies solely to those candidates seeking promotion to senior lecturer level in the Clinical Science Disciplines identified in Table 1.

Table 1 Clinical Science Disciplines		
Anaesthesiology & Critical Care	Geriatrics	Otorhinolaryngology
Anatomical Pathology	Haematology	Paediatrics & Child Health
Cardiology	Infectious Diseases	Paediatric Surgery
	Medical Microbiology	Plastic & Reconstructive Surgery
Cardiothoracic Surgery	Medicine	
Chemical Pathology	Nephrology	Psychiatry
Dermatology	Neurology	Psychology leading to specialisation, & Social Work
Diabetes and Endocrinology	Neurosurgery	Pulmonology and HIV
Emergency Medicine	Nuclear Medicine	Radiology
Forensic pathology /medicine	Obstetrics and Gynaecology	Radiotherapy and Oncology
Gastroenterology	Ophthalmology	Rheumatology and Urology
General Surgery	Orthopaedic Surgery	Virology
Nursing and public health	Laboratory medicine and medical sciences	

10.3.2. In addition, candidates shall have obtained a Master's degree and secured registration with the relevant professional council in Clinical disciplines.

10.3.3. The other criteria delineated in Annexure 4 regarding appointment or promotion to senior lecturer level remain firm.

10.3.4. Basic Science Scholars in the College of Health Sciences are not exempt from PhD status. Instead, they shall obtain a PhD qualification before promotion to senior lecturer level. The Basic Science disciplines are shown in Table 2.

Table 2 Basic Science Disciplines	
Clinical Anatomy	Medical Illustration
Human Physiology	Medical Microbiology (UKZN permanent employees)
Medical Biochemistry	Pharmacology
Pharmaceutical Chemistry or Mathematics	

10.4. Humanities

10.4.1. The PhD exemption applies to candidates seeking promotion to senior lecturer level in the fields of Architecture/Design, Music, Creative /Performing Arts, and applied human sciences (professional disciplines).

10.4.2. Candidates are required to possess a master's degree and the applicable Licentiate.

10.4.3. The other criteria delineated in Annexure 4 regarding appointment or promotion to senior lecturer level remain firm.

10.5. Engineering

The PhD exemption is granted to candidates seeking appointment or promotion to senior lecturer level in Engineering, provided that:

10.5.1. The candidate has earned a Master's degree; and

10.5.2. The candidate shall be registered as a professional engineer and demonstrate industry experience of not less than five (5) years.

10.5.3. The other criteria delineated in Annexure 4 regarding appointment or promotion to senior lecturer level remain firm.

10.6. Law

10.6.1. A doctoral degree is the preferred qualification, or at least compliance with doctoral degree requirements. The PhD exemption is granted to candidates seeking appointment or promotion to senior lecturer level in Law, provided that the candidate has earned a Master's degree; and

10.6.2. The candidate shall have achieved admission as an advocate or attorney and accomplished at least five (5) years of practical experience.

10.6.3. The other criteria delineated in Annexure 4 regarding appointment or promotion to senior lecturer level remain firm.

10.7. Non-applicability of Qualifications Exemption at Professoriate Level

10.7.1. The procedural grant of qualifications exemptions does not apply to candidates who seek appointment or promotion to associate professor or full professor levels.

10.7.2. Exemptions for PhD for appointment and promotion to senior lecturer shall also apply to scarce skills Disciplines based on the national DHET Scarce Skills List.

11. Fast Track and Out of Cycle Appointments and Promotions

11.1. For exceptional candidates, the School may initiate negotiation with a particular candidate to offer a position after following procedures for directed headhunting or out of cycle appointments or promotions.

11.2. Prior to initiating the fast track and out-of-cycle appointments/promotions process, the Dean and Head of School shall motivate to the DVC and Head of College as to why the process should be undertaken. Both DVC and the ED HR shall approve the process.

11.3. The academic level will be decided by a selection sub-committee chaired by the DVC and Head of College, including the Dean and Head of School, CDR, CDTL, and the Discipline Academic Leader. A College HR consultant will be in attendance.

12. Human Resource Management Activities Post Appointment and Promotion Process

Immediately following the conclusion of the promotion process by the selection committee;

12.1. The college HR will inform the ED HR regarding the outcome of appointment and/or promotions ten (10) working days after the selection committee has concluded the process.

12.2. The ED HR will, upon receiving the report of the selection committee from the College HR consultant, submit the same to UAPC for final arbitration.

12.3. Following the conclusion of the appointment and promotion process by UAPC, the EDHR will provide written communication to the successful applicants through the Dean and Head of School within 15 working days.

12.4. The promotion of successful applicants shall take effect from 1 January following the conclusion of the process. A successful application for promotion to a higher position will normally result in salary placement on the first point for the new grade unless the applicant is already being paid within that range. In such circumstances, salary placement will be one incremental point above the level of salary prior to promotion.

12.5. All appointment and promotion processes shall be completed at the School level and adjudicated by the University Appointment and Promotion Committee (UAPC) consisting of Vice-Chancellor (Chair), CDVCs, DVCTL, DVCR, and ED HR.

12.6. The ED HR will submit an appointment and promotions report annually to Senate detailing:

12.6.1. The number of academics who applied and those that have been promoted or appointed per College/School at each academic level;

12.6.2. The demographic compositions of the appointments and promotions per College/School (including people living with disabilities);

12.6.3. Names of successful applicants and their level of promotion; and

12.6.4. The number of appeals and outcomes.

13. Effective Date of Promotion

13.1. All promotions take effect from 1 January following the finalisation of the promotion process.

13.2. Out of cycle and fast track promotion /appointment take effect immediately after the finalisation of the respective processes.

13.3. All remuneration adjustments shall be in terms of the prevailing Remuneration Policy

14. Counselling and Feedback to Candidates

14.1. The ED HR will provide written feedback through the Dean and Head of School within 15 working days of finalising the process and upon receiving the report from the college HR manager.

14.2. Verbal one-on-one counselling shall be provided by a relevant Dean and Head of School to the applicants, which would normally include advice on:

14.2.1. Any level of achievement or distinction which has not yet been met by the candidate;

14.2.2. Advice on professional development to overcome deficiencies;

14.2.3. Future promotion applications;

14.2.4. Reasons for which the application was unsuccessful;

14.2.5. Scores, with a view to providing beneficial information for the applicant to develop the next application for promotion. This shall not, however, constitute a right of appeal.

14.2.6. Counselling and feedback to unsuccessful candidates are provided on a 'without prejudice' basis and may not be used as grounds for review.

14.2.7. Unsuccessful candidates may reapply after a two-year lapse and once their probability of success improves. Such candidates are advised to seek the advice of the line manager, senior peers and/or the Dean and Head of School when reapplying for promotion.

15. The Appeals Process for Unsuccessful Candidates

15.1. Limited Circumstances to Institute Appeals

The decision of the selection committee is final, and there is no right of appeal against a decision taken to decline an application for promotion. However, in the event an applicant believes that the prescribed procedure was not followed, that the process was flawed, or that the outcome was substantively unfair, the applicant may appeal the decision. In that case, the decision may be appealed either on procedural or substantive grounds or both.

15.1.1. Procedural grounds – here, evidence-based proof exists that a defect in, or deviations from, the process or procedure contained in this document may give rise to an appeal. This may include either non-compliance or non-procedural conduct;

OR

15.1.2. Substantive (meritorious) grounds – this entails identification of inconsistency in the evaluation of the promotion criteria contained in this procedure document and/or Annexures 2 to 10. The appeal will state the reason(s) underlying the assertion that application of the appointment/promotion criteria was unfair, not considered, not provided, and unsubstantiated.

15.2. Assessment of Appeals Case by the ED HR

15.2.1. Where the ED HR determines that there has been no procedural failure or that any failing had no material effect on the decision, the ED HR shall notify the applicant and the selection committee Chair in writing that the decision is upheld.

15.2.2. Where the ED HR determines that there has been a failure to comply with the requirements of the Policy or Procedures that has had a material effect on the decision, the ED HR shall constitute an Appeals Panel.

15.3. Formation and Constitution of Appeals Panel

Membership of the Appeals Panel shall comprise individuals not previously involved in the promotion process for the applicant in question. The membership will consist of:

15.3.1. ED HR

15.3.2. One Senate representative at the level of professoriate from another College (who was not part of the previous selection committee);

15.3.3. Dean and Head of School from another College who did not participate in the previous selection committee.

15.4. Procedures of the Appeals Panel

15.4.1. The Appeals Panel will meet to consider determination as soon as is practicable and not later than 15 December following the ED HR's decision and proceed as follows:

15.4.2. The Appeals Panel will interview the appellant (who may be accompanied by a colleague or a union representative who is an academic);

15.4.3. The Appeals Panel will consider the original material available and will be permitted to call others to attend or to request the submission of written statements.

15.5. Powers of the Appeals Panel

The Appeals Panel is empowered to consider the facts of the case presented before determining whether to:

15.5.1. Uphold the appeal and refer the matter back to the relevant selection committee at School or College for reconsideration of the substantive case following the correct procedure and/or process; or

15.5.2. Deny the appeal.

15.6. Decision of the Appeals Panel

15.6.1. The Appeals Panel does not have the delegated authority to vary the original outcome of the promotion application.

15.6.2. The Appeals Panel is to provide, in writing, the decision and brief reasons for the decision to the staff member.

15.6.3. The decision of the Appeals Panel will be final.

16. Extension of Staff Appointments beyond Retirement

16.1. Eligibility Criteria

The process and procedure of extension of academic staff appointments beyond retirement apply to current permanent employees and any external person who meets the criteria delineated in the Policy.

16.2. Needs of Academic and Wider Environments

The academic and wider environment shall have identified the need to attract or retain the employee's services beyond the age of sixty-five (65).

16.3. Transformation Imperative, Succession Planning and Financial Stability

Continuation of service shall neither impede the transformation imperative of UKZN nor inhibit Succession Planning and Knowledge Transfer. Moreover, the continuation of service shall not compromise financial sustainability.

16.3.1. The Dean and Head of School identifies staff members (aged 60 and older) and motivate why these staff members meet the criteria as set out in this regulation to continue in service beyond the age of 65. The Dean and Head of School will advise the Staff member to apply.

16.3.2. The extension beyond retirement follow the same process as for promotion, but with the assessment being against the level at which the candidate is appointed at the time of application for superannuation.

16.3.3. The motivations for extension beyond retirement shall be presented to the next meeting of the selection committee by the Dean and Head of School chaired by the DVC.

16.3.4. In the event of an external appointment of a person older than 65, the Dean and Head of School shall prepare a motivation to the DVC for consideration. If the DVC establishes a prima facie for such appointment, the Dean will arrange with the selection committee to consider the appointment.

16.3.5. Successful appointments beyond retirement take effect from 1 January. Furthermore, a successful application for extension beyond retirement will continue on the salary scale on which they were before such extension.

16.4. Motivation for Extension of Academic Appointments beyond Retirement

16.4.1. The motivation for continuation of service beyond normal retirement age shall be provided no later than 31 March (3 years before retirement age).

16.4.2. The motivation shall include the following:

16.4.2.1. Biographical details (name, age, job title, grade and School, Division and Discipline).

16.4.2.2. How the position is currently funded (internal/external) and will be funded during the continuation of service;

16.4.2.3. Performance assessment for the previous three performance cycles;

16.4.2.4. Description of the nature and Level of the recommended employee's exceptional contribution, including NRF or comparable research council -rating where applicable;

16.4.2.5. The nature of the scarce (occupations in high demand) expertise;

16.4.2.6. A detailed plan for succession and targeted knowledge and skills transfer;

16.4.2.7. Current and future responsibilities as agreed upon in the work agreement;

16.4.2.8. Envisaged contribution to the advancement of the transformation imperative of UKZN, such as a continuation of mentorship of upcoming academics from the designated groups which the academic would have been doing already;

16.4.2.9. The proposed duration of the continuation of service and terms and conditions thereof;

16.4.2.10. An indication that the employee being recommended is willing and available to accept the continuation of service beyond the age of sixty-five (65).

16.5. Employee Benefits and Conditions of Service

Approval by the Selection Committee for a continuation of service beyond age 65 shall specify any variations to the employee's benefits and conditions of service. This approval includes, but is not limited to:

16.5.1. The duration of the continuation of service;

16.5.2. Whether the employee will be required to work on a full-time or part-time basis;

16.5.3. The role and responsibilities of the employee;

16.5.4. The employee's working hours, location and the benefits;

16.5.5. Notwithstanding the duration of the continuation of service, the employee's services can be terminated before the specified end date for any reason justifiable in law, including misconduct, poor performance or operational requirements;

16.5.6. All benefits and conditions of service shall be addressed according to the University's applicable policies, rules and guidelines at any given time.

16.6. Monitoring of Performance

Academic staff members who have been appointed or granted permission to continue their service after reaching the normal retirement age of sixty-five (65) years will maintain a level of exceptional performance. This performance will be based on the evaluation of whether or not the employee has met the outputs as agreed in terms of the performance agreement.

16.7. Annual Reporting Requirements

16.7.1. Annual Comprehensive Report by Employees

Staff members who have been appointed or granted permission to continue their service after reaching the age of 65 shall submit a comprehensive annual report on their work outputs with specific reference to the applicable criteria via the line manager to the Dean and Head of School.

16.7.2. Annual Consolidated Report on Superannuated Employees

The Dean and Head of School shall submit a consolidated report of all superannuated employees to the University Appointment and Promotion Committee by 15 November annually for ratification after being persuaded that the employees have met the work outputs in terms of the work agreement.

16.8. Membership in UKZN Statutory Bodies

16.8.1. Staff members who have been granted continuation of service shall retain their membership in all UKZN statutory bodies.

16.9. Mentoring Requirements

16.9.1. The relevant School will ascertain that a staff member who is granted an extension of appointment beyond retirement has mentored at least three academic staff members in the last five years. Such mentorship of junior academics shall continue for the duration of the appointment beyond the retirement of the staff.

16.9.2. Evaluation of mentorship shall be part of the performance management process for the mentor.

16.10. Duration of Extension of Appointment beyond Retirement

16.10.1. If granted, the extension will be valid for a period of five (5) years beyond the normal retirement age.

16.10.2. The extension is contingent upon ongoing sustained performance as evaluated in the performance management system and targeted mentoring of emerging academics.

16.10.3. After serving for five (5) years beyond the normal retirement age of 65, the University may not permit a further extension.

16.11. Termination of Extended Appointment due to Underperformance

Underperformance for three consecutive years and where there is no demonstrated mentoring, the extension beyond normal retirement age will be terminated by recommendation of the Dean and Head of School to ED HR through DVC of the respective College.

17. Process and Procedure for Honorary and Adjunct Appointments

17.1. Submission of Applications for Honorary and Adjunct Staff Appointments

Application for an Honorary/Adjunct appointment will be made in writing to the Dean and Head of School accompanied by a full CV, motivation as to the appropriate academic level, and a letter of support from at least one academic within the School.

17.2. Requirements of Honorary Clinical Associates and Clinical Fellows

17.2.1. For Honorary Clinical Associates and Honorary Clinical Fellows, the application will include confirmation from the line manager that the honorary appointee spends a minimum of 20% of his/her normal clinical health care working week on academic activities.

17.2.2. An Honorary Clinical Associate and an Honorary Clinical Fellow are also required to have a primary professional undergraduate qualification and a Master's degree and/or specialist qualification of not less than five years with the concomitant work experience. The appointee is required to have the necessary knowledge, skills and experience.

17.3. Approval Process and Procedure for Honorary and Adjunct Staff

17.3.1. The Dean and Head of School will approve the appointment and academic level in line with the prevailing criteria for all honorary and adjunct academic positions and report to the School Board for noting purposes. The Dean and Head of School may consult with other academics, if necessary, to verify the information provided in the application.

17.3.2. Adjunct Academic Appointments may also apply to individuals not affiliated with any organisation that has the requisite expertise or skills to perform specific academic responsibilities.

17.4. Duration of Honorary Appointments

17.4.1. An Honorary appointment shall be for a period of up to three (3) years.

17.4.2. Renewals will follow the same process, but it will also require a short report of activities and outputs while in the honorary position consistent with prevailing Senate norms.

17.5. Privileges of Honorary Staff

17.5.1. Honorary appointees will be treated by HR as a special category of staff appointments and issued UKZN ID cards. They will be accorded the privilege of using the library, IT facilities, parking on campus (on payment of the relevant parking fee if applicable), the privilege of invitations to appropriate University functions and any other privileges which the Council may accord.

17.5.2. Honorary appointees may undertake the co-supervision of postgraduate students with permanent academic staff.

17.5.3. Subject to the availability and approval of the Dean and Head of School, provision may be made for the use of office space, computer facilities and research facilities as appropriate.

17.5.4. There is no remuneration associated with honorary appointments. However, for honorary appointments beyond retirement, such appointees may convert up to 50% of their Research Incentives funding derived from their productivity awards into remuneration. Such payments shall be supported by the

Dean and Head of School and approved by the Deputy Vice-Chancellor for Research. In addition, honorary appointments may receive remuneration from an external research grant that makes explicit provision for a salary.

17.5.5. Honorary Clinical Associates and Honorary Clinical Fellows will receive remission of tuition as per the approved University Tuition Remission Policy applicable to the Joint Health Establishment employees.

18. Process and Procedure for Professor Emeritus Appointments

The following procedures and processes will apply:

18.1. Submission of Proposal for Professor Emeritus Appointments

18.1.1. Any proposal for the appointment of a Professor Emeritus shall be made in writing to the Dean and Head of School with a letter of motivation accompanied by an abridged CV (1-2 pages, Roman Times Font 12).

18.1.2. The Dean and Head of School will make a recommendation and submit this to the School Board, who will, in turn, make a recommendation to the College Academic Affairs Board.

18.1.3. The College Academic Affairs Board will consider the application for approval. Any such approval will further be considered by Senate for final approval and reported at Council for noting.

18.1.4. If a professor with less than ten years of service at that rank is recommended for appointment, the proposal shall be:

18.1.4.1. Supported by a motivation indicating outstanding scholarship and service;

18.1.4.2. Approved by the relevant School Board, College Academic Affairs Board and Senate, respectively.

18.1.5. The title of Professor Emeritus may be conferred either at the time of retirement (even if the incumbent is re-employed) or after her or his term of office beyond retirement but will only become effective after the incumbent has vacated the post of professor.

18.2. Duration of Professor Emeritus

A Professor Emeritus is a lifetime appointment.

18.3. Privileges of Professor Emeritus

18.3.1. HR will assign a Professor Emeritus special category of appointment. They will be accorded the privilege of using the library, IT facilities, parking on campus, the privilege of invitation to appropriate University functions (including the academic procession at graduation ceremonies) and any other privileges accorded by the Council.

18.3.2. Professor Emeritus may undertake the supervision of postgraduate dissertations and publish research in the name of the University of KwaZulu-Natal.

18.3.3. Professor Emeritus who wish to continue in a research active role in the University must apply to become a Senior Research Associate.

18.3.4. Appointees may convert up to 50% of their research incentives funding derived from their productivity awards into remuneration

19. Process and Procedure for Senior Research Associate Appointments

The following processes and procedures will apply:

19.1. Proposal for Appointment

Any proposal for such an appointment shall be made in writing to the Dean and Head of School, with a letter of motivation and an abridged curriculum vitae (including a complete list of publications).

19.2. Approval of Appointment

The Dean and Head of School will approve the appointment. The Dean and Head of School may consult with other academics if necessary and report the appointment to the next sitting of the School Board for noting.

19.3. Duration of Senior Research Associate (SRA) Appointments

19.3.1. An appointment as Senior Research Associate shall be for a period of five (5) years.

19.3.2. Renewals will follow the same process but will also require a report of activities and output while in the SRA position consistent with the prevailing Senate norms on annual research productivity.

19.4. All successful and unsuccessful applications for SRA will be sent to School Board by the Dean and Head of School for noting.

19.5. Privileges of Senior Research Associates

19.5.1. Senior Research Associates will be treated by HR as a special category of staff appointments. They will be issued with UKZN ID cards and accorded the privilege of using the library, IT facilities, parking on campus (on payment of the applicable parking fee) and any other privileges accorded by the Council. The College and University Research Office will be notified of this appointment.

19.5.2. Subject to the approval of the Dean and Head of School, provision may be made for the use of office space, laboratory space, computer facilities and research facilities as appropriate.

19.5.3. Senior Research Associates may undertake the co-supervision of postgraduate students with permanent academic staff. They will be expected to undertake and publish research in the name of the University of KwaZulu-Natal. Research output should be the equivalent of two journal articles per year. Appointees may convert up to 50% of their research incentives funding derived from their productivity awards into remuneration.

20. Process and Procedure for Visiting Appointments

The following processes and procedures will apply:

20.1. Proposal for and Duration of Visiting Appointments

20.1.1. Any proposal for a visiting appointment shall be made in writing to the Dean and Head of School, who shall approve such appointment.

20.1.2. Visiting academics may be appointed for one (1) year and not more than 2 years, and their appointments are only valid for the periods during which they are based at the UKZN.

20.1.3. All Visiting appointees shall be notified of their appointments by the College Human Resources office.

20.2. Privileges of Holders of Visiting Appointments

20.2.1. Visiting appointees will be treated by HR as a special category of staff appointments. In terms of this, they will be issued with UKZN ID cards, and they will be accorded the privilege of using the library, IT facilities and parking on campus (on payment of the applicable parking fee).

20.2.2. Subject to the approval of the Dean and Head of School, provision may be made for the use of office space, computer facilities and research facilities as appropriate.

20.2.3. Visiting academics may publish in the name of the University and co-supervise students with a permanent member of staff.

20.2.4. There is no remuneration associated with a visiting appointment. However, visiting academics may be remunerated on prevailing fixed-term rates when they are assigned teaching roles.

21. Award of Fellowships of the University of KwaZulu-Natal

Fellowships of the University of KwaZulu-Natal are awarded to permanent academic staff members in recognition of distinguished academic achievement.

21.1. Criteria for Nomination of Fellowship Awardees:

21.1.1. Permanent academic staff who have held an appointment at the University for a continuous period of three (3) years prior to the closing date for nominations.

21.1.2. Hold the academic level of full professor or senior professor of the University.

21.1.3. Have distinguished themselves and acquired exceptional merit in academic and scholarly work.

21.2. Procedure for Nomination of Fellowship Awardees

The following processes and procedures shall apply:

21.2.1. Nomination of candidates for a Fellowship shall:

21.2.1.1. Be supported, in writing, by three members of the University academic staff;

21.2.1.2. Provide a brief motivation for the nomination, including the nominee's distinguished contribution(s) in his or her field;

21.2.1.3. Include a curriculum vitae, with full details of publications, h-index, and citations and other evidence of distinction such as NRF or equivalent scientific rating from research councils;

21.2.1.4. Supply names and full contact details (title, name, physical address, e-mail address, telephone and fax numbers) of five referees; these should be persons of excellent standing who have distinguished themselves in the relevant field, two of whom should be international;

21.2.1.5. Include a letter of acceptance from the nominee along with submission of the nomination.

21.3. Senior Award Committee's Call for Referees and/or Assessors

The Senior Award Committee is the decision-making body that grants Fellowships. The Senior Award Committee reserves the right to call for assessor reports in addition to referee reports.

21.3.1. Referees and/or assessors are invited to comment on, inter alia:

21.3.1.1. Whether the nominee is exceptional and worthy of consideration for the award with respect to publications;

21.3.1.2. The impact of publications;

21.3.1.3. The quality and depth of publications;

21.3.1.4. The standing of the nominee within the relevant Discipline;

21.3.1.5. The international and/or national standing of the nominee;

21.3.1.6. Comment solely on the productivity of the individual and not on their character.

21.3.2. Referee and/or assessor reports shall be treated in the strictest confidence.

21.4. Ceremonial Presentation of Fellowship Awards

21.4.1. The award of Fellowships shall be formally announced by the Vice-Chancellor at the appropriate graduation ceremony, and the Fellow shall be presented with a certificate by the Vice-Chancellor.

21.4.2. The graduation ceremony programme shall contain a citation of 200/250 words setting out the grounds for the award of the Fellowships. Such citation shall be prepared by the Deputy Vice-Chancellor for Research.

21.5. Duration of Fellowship Awards

21.5.1. Fellowships are conferred for life. However, the University reserves the right to withdraw the Fellowship Award at any time if, in the opinion of the University, the recipient's conduct or behaviour is considered unethical or not in conformity with the honour and status of the Fellowship Award.

21.5.2. Fellowships shall be entirely independent of promotion or other changes in a staff member's conditions of service at the University of KwaZulu-Natal.

PART III. GUIDELINES ON ACADEMIC APPOINTMENTS AND PROMOTIONS

These guidelines further elaborate the Policy, Process and Procedures on academic appointment and promotion to ensure compliance therewith.

1. Purpose and Context

This document establishes the guidelines for University of KwaZulu-Natal academic appointments and/or promotions to a Lecturer, Senior Lecturer, Associate Professor, Full Professor, Research Scholar, Research Professor, Teaching Scholar and Leadership Scholar levels. The academic appointments and promotions guidelines shall apply to all permanently appointed academic employees and those on long-term contracts of more than two years who seek appointment and/or promotion to the respective academic levels. The guidelines further provide the protocol governing appointments of Professor Emeritus, Senior Research Associate, Visiting Appointments, Award of Fellowships and Extension beyond Retirement.

Contextually, the University recognises the diverse nature of scholars and Disciplines and, therefore, does not apply a one-size-fits-all approach in assessing appointments and promotions. Rather, the Policy and procedures consider matters such as Discipline cultures, biases and preferences through a rigorous peer review system.

2. Guidelines for Applicants for Academic Appointment or Promotion

2.1. The primary responsibility and accountability in the academic appointment and promotion process centres on the applicant and the accuracy of the materials s/he proffers to support an application for appointment or promotion.

2.2. Applicants shall familiarise themselves with the Academic Appointments and Promotions Policy, Procedures, Guidelines, and the promotion schedule for application submission, as well as the sitting schedules of the selection committees.

2.3. Applicants currently under the employ of UKZN shall explore and recognise the link between Integrated Talent Management and the academic appointments and promotions Policy, Processes and Procedures.

2.4. Proof of excellent performance according to the norm of the current level, assessed and rated in terms of the candidate's key performance agreements, is required before promotion to the next level may be considered.

2.5. Individual merit of candidates is the foundation for recruitment and selection of candidates for appointment and promotion, thereby excluding all forms of bias and unlawful discrimination.

2.6. All candidates shall meet the minimum expectation for the level to which they are applying for appointment or promotion as stipulated in the Criteria. In addition, candidates shall provide evidence that they meet the performance expectations for promotion, as detailed in these guidelines.

2.7. Applicants are encouraged to engage with the relevant Dean and Head of School or senior colleagues who have gone through process to help gauge their readiness to submit an application for appointment or promotion. However, the applicant may submit the application should s/he disagree with the advice of the Dean and Head of School. There shall be no formal process of shortlisting and interviewing candidates applying for promotion. However, applications for appointments shall be subject to shortlisting and interviews.

2.8. All applicants are required to meet consistent quality standards at each level for appointment and promotion. However, the promotion committees may take account of a reduced quantity of output/activity due to certain personal circumstances, though quality shall always be maintained. This consideration includes a range of circumstances such as family-related leave and career breaks that may deter overall output.

2.9. UKZN internal candidates may opt out of the credentialing process (for Accelerated Academic Development Programme participants) and instead apply for an advertised lecturer position.

2.10. For candidates positioned in a School where teaching and learning, along with research and innovation, take the form of creative work, clinical (including nursing and public health, and laboratory medicine and medical sciences), legal, accounting/finance/auditing; architecture/ design, engineering, applied human sciences (professional disciplines) and Scarce skills disciplines (outlined in the prevailing DHET Scarce Skills Gazette Notice); specific criteria and requirements for evaluation of the achievements contemplated in the Policy shall apply.

2.11. A doctoral qualification shall be the entry requirement for appointment and promotion to academic levels. However, for entry into lecturer levels in all disciplines and for professional practice Disciplines such as law, clinical medicine, engineering, accounting & finance, architecture & design, and creative/performing arts, a Master's degree or appropriate professional or practical experience where applicable should be sufficient for promotion to senior lecturer. Scarce skills disciplines as outlined in the prevailing DHET Scarce Skills Gazette Notice are included in this category. The other Policy and procedural requirements remain applicable.

2.12. A PhD qualification shall be a mandatory requirement for professional practice Disciplines as defined for appointment or promotion to the professorial levels.

2.13. Candidates who are unsuccessful in their quest for appointment or promotion may reapply after two years. Such candidates shall also seek advice from their line manager, senior peers or the Dean and Head of School.

2.14. There is no right of appeal against a decision undertaken by the Selection Committee, except under very narrow procedural and substantive grounds as expounded in the procedures/processes.

3. Guidelines for Role of Executives and Administrators in Appointment/Promotion Process

3.1. The University will ensure that appointments and promotions proceed in accordance with Council approved policies fairly and transparently.

3.2 The recruitment, selection, appointment and promotion process and procedures shall promote diversity.

3.3. University executives and administrators shall allocate adequate time for all the relevant processes and procedures to take place, from the call for promotion through the appointment of selection committees, designation of referees or assessors. Finally, the university administrators will secure reports from the referees or assessors in advance of the Selection Committee meetings.

3.4. Executive Director, Human Resources (ED HR), in partnership with Information and Communication Services (ICS) shall strive to automate the appointment and promotion process for managing document flow using a suitable off-the-shelf (online) platform or any such in-house developed system.

3.5. ED HR shall ensure that the adverts (for academic positions) and job profiles for all academic levels delineate criteria and areas central to recruitment and promotion announcements.

3.6. ED HR or the designate shall convene roadshows to create awareness across the University prior to implementation of the revised Academic Appointments and Promotions Policy.

3.7. Each School Operations Manager shall develop and maintain a tracking system to apprise all prospective applicants of proposed dates for the receipt of completed applications, the seating of selection committees, and final feedback to applicants from the ED HR through the Dean and Head of School.

3.8. The Dean and Head of School shall be accessible to the candidate to advice on the application prior to submission.

3.9. The School Operations Manager shall receive the application and supporting documents from candidates for onward transmission to the Dean and Head of School ahead of the seating of the selection committee.

3.10. To ensure common practice in the appointment and promotion process in the University, cross-cutting DVCs, ED HR, UDR, and Director of QPA, shall be standing members of the selection committees for professoriate.

3.11. The appointment/promotion processes shall be completed at the School level and adjudicated by the University Appointment and Promotion Committee chaired by the VC.

3.12. The Dean and Head of School shall provide counselling and/or feedback to both unsuccessful and successful candidates to support their future development.

4. Guidelines for Constitution and function of Selection Committees

4.1. The Selection Committees shall have representatives in terms of gender, race and bring on board senior and junior academics and also staff from disadvantaged groups.

4.2. The methods used to assess applicants by the University across all academic levels shall be fair, transparent, objective, flexible and equitable.

4.3. The decision to promote or not promote a candidate shall be supported by majority of selection panel members, including a Senate representative or/and an external expert (external to UKZN).

4.4. A School may elect to have more than one external rep (external to UKZN) on the selection committee who are experts based on the diverse disciplines on offer.

4.5. The selection committee for all academic levels shall consider and evaluate applications for promotion against specific criteria, scores and weightings relevant to the position concerned. The evaluation shall be both merit and evidence-based.

4.6. Whereas the evaluation and appraisal of an academic employee aims to judge the employee's career and performance over time, evidence is required that a candidate for promotion meets the criteria set for the level to which the promotion is sought.

4.7. The selection committee shall recognise and deliberate on the diversity and peculiarities of scholarly Disciplines during the evaluation of candidates.

4.8. The reports of assessors and/or referees shall not be the primary source for considering an applicant for promotion. Instead, the selection committee shall consider all evidence as a whole and triangulate the evidence to reach an outcome.

4.9. Taken as a whole, the generic selection committee is effectively a standing committee for a School, changed only by the Discipline members, senate rep, external rep(s), and a union rep.

4.10. Cases of misrepresentation by applicants that find their way to the selection committee shall be referred to the respective line manager for further processing in accordance with the prevailing University disciplinary procedures.

5. Guidelines for Selection and Function of Referees and Assessors

5.1. The assessors or referees nominated and subsequently appointed shall be fit for purpose and experts in the Discipline of the candidate. Such assessors and referees shall be people of respectable national and international standing in the Discipline.

5.2. For appointment and/or promotion to lecturer/ senior lecturer level, the candidate nominates the names of four referees at senior lecturer level or above (One of the referees shall be from UKZN) with expertise in the field of the applicant. These nominees are vetted by the Dean and Head of School, who selects three to provide reports on the applicant.

5.3. For promotion to professoriate positions, the candidate and the Discipline each nominate three (3) independent external assessors for a combined total of six (6). A team of three (3) professors in the School nominated by the School Board under the Chair of the Dean and Head of School vet the nominees to ensure they are of impeccable national /international professional standing and renowned experts in their Disciplines. Three assessors are selected to provide reports on the candidate. Of the three (3) assessors selected, two (2) shall be national and one international for applicants seeking associate professorship. For those seeking full professorship, one assessor shall be national and *two international (*for scarce skills disciplines such as IsiZulu, most of the selected assessors may be drawn from national institutions comparable to UKZN).

5.4. Whilst applicants for the position of lecturer and senior lecturer shall declare in their application any personal or professional relationship with referees; applicants seeking to join the professoriate shall ensure that nominated assessors are not former advisors, collaborators, post-doctoral supervisors, close personal friends, or have any relational to the candidate. Although the candidates may not know the identity of some assessors, they may, with reasons, suggest which potential assessors should not be used.

5.5. Former UKZN employees can only serve as assessors if no conflict of interests with the candidate exists.

5.6. To advance the academic appointment and promotion process, the Dean and Head of School will confirm the availability of referees and assessors to provide their reports before sending the candidate's dossier for assessment. The Dean and Head of School will likewise provide clear instructions to referees and assessors about the expectations of the process.

5.7. The assessor/referee reports are critical to the academic peer-review process. Careful consideration should be given to the selection of the assessors, including the provision of a spread of viewpoints and assurance of independence. If necessary, colleagues' independence to the applicant may be ascertained in the selection of the assessors.

5.8. Referees and assessors shall holistically evaluate the scholarship of the candidate in light of the four areas of evaluation: Teaching and Learning; Research and Innovation; Leadership and University Administration; and Academic Citizenship. Referees and assessors shall adhere to the weighting and scoring provided.

5.9. Referees and assessors shall return respective reports to the Dean and Head of School within 30 days of receipt of the candidate's dossier. The Dean and Head of School will periodically issue polite but firm reminders to referees and assessors.

5.10. The substance of the referees/assessors reports remain confidential even after announcing the outcome of the academic appointment or promotion process.

6. Areas of Evaluation of Scholarship for Appointment and Promotion to a Particular Academic Level

All applicants are expected to demonstrate a high standard of performance in all four areas of academic work, namely; Teaching and Learning; Research and Innovation; Leadership and University Administration, and Academic Citizenship.

7. Description of each Academic Level

The description of each academic level follows:

7.1. Lecturer Level

Lecturers are junior academics and researchers, clinical scientists, chartered accountants/finance experts/auditors, legal practitioners, architects, creative/performing artists, applied human scientists, nurses and public health experts or engineers in their field. Lecturers access this position through credentialing or appointment processes.

Lecturers should:

7.1.1. Meet the criteria defined in Part IV: Annexure 2 the areas of evaluation of Scholarship for appointment to a lecturer academic level through credentialing process. This evaluation applies to internal candidates only moving, for example, from Lecturer, Accelerated Academic Development Programme to Lecturer level.

7.1.2. Meet the criteria defined in Part IV: Annexure 3 the areas of evaluation of Scholarship for appointment to a lecturer academic level through the appointment process.

7.1.3. Embody the potential to succeed as an academic and develop a career through appointment as interrogated through assessment of the applicant's materials and interviews.

7.1.4. Provide a record that is above average throughout their career trajectory. This record includes ongoing self-improvement and continuously striving to establish themselves in a research and teaching area.

7.1.5. Exhibit at the time of appointment, competency to bring research to completion, as evidenced through publication.

7.1.6. Demonstrate teaching competency or potential, either through direct evidence of teaching experience or through interrogation at the interview level (through appointment process).

7.1.7. Display undertaking of independent teaching and/or supervised research in their disciplines or related areas.

7.1.8. Participate in some form of community engagement related to their disciplines, such as activity in professional forums or in-service delivery in non-governmental organisations and other avenues.

7.1.9. Show a growth curve that indicates academic potential for further development.

7.2. Senior Lecturer Level

Senior Lecturers are mid-level academics/researchers, clinical scientists, chartered accountants/finance experts/auditors, legal practitioners, architects, creative/performing artists, applied human scientists, nurses and public health experts or engineers in their field.

Senior Lecturers are required to, *inter alia*:

7.2.1. Meet the criteria defined in Part IV: Annexure 4, the areas of evaluation of scholarship for appointment and promotion to senior lecturer academic level.

7.2.2. Provide evidence of their prominent role in the training/education of undergraduate and postgraduate students, including postgraduate supervision.

7.2.3. Articulate and illustrate their implementation of teaching philosophies and strategies.

7.2.4. Administer certain ongoing teaching activities within the discipline, including the academic development of students.

7.2.5. Build the knowledge base of their discipline(s) through research and publication, including presentations at conferences and similar events.

7.2.6. Exhibit a sustained subject-scientific study performance that is of high quality and potential to maintain it at this level.

7.2.7 Show that research achievements and/or other relevant outputs form an integral part of their academic profile.

7.2.8. Display involvement of some form of academic citizenship activities related to their Discipline. Such activities can be done in professional forums or in-service delivery for non-governmental organisations and other sectors and avenues.

7.2.9. Demonstrate involvement in establishing themselves as national/international experts in their field.

7.3. Associate Professor Level

Associate Professors are recognised as senior academics and leading researchers, clinical scientists, chartered accountants/finance experts/auditors, legal practitioners, architects, creative/performing artists, applied human scientists (professional disciplines), laboratory medical scientists nurses and public health experts or engineers in their field. .

Associate Professors shall, *inter alia*,

7.3.1. Meet the criteria defined in Part IV: Annexure 5, the areas of evaluation of scholarship for appointment and promotion to Associate professor academic level.

7.3.2. Demonstrate original and significant national contributions to research and high-quality scholarship, with some international standing in the field.

7.3.3. Play a major role in governance and leadership positions within the Discipline, School, College and University.

7.3.4. Actively build scholarly collaborative networks at the national and international level that attract funding.

7.3.5. Exhibit high participation in research, conferences and similar events in the field.

7.3.6. Groom the next generation of scholars through mentoring in areas such as joint publications, joint grant attraction, and co-teaching at lower levels. This mentorship also includes involving young academics in research groups and collaborative projects and introducing young scholars to national and international research networks.

7.4. Full Professor Level

Full Professors are senior academics and researchers, clinical scientists, chartered accountants/finance experts/auditors, legal practitioners, architects, creative/performing artists, applied human scientists, nurses and public health experts or engineers in their field.

Full Professors shall, *inter alia*:

7.4.1. Meet the criteria defined in Part IV: Annexure 6, the areas of evaluation of scholarship for appointment and promotion to full professor academic level.

7.4.2. Be established and recognised experts in their field with a broad understanding of research and scholarship.

7.4.3. Be leading researchers with an excellent career record.

7.4.4. Make regular and substantial original contributions to scholarship of outstanding quality as national and international experts in their field.

7.4.5. Lead improvement in the teaching and research of the Discipline, School, College and University.

7.4.6. Possess an established international reputation for academic leadership.

7.4.7. Manifest an active role in public/professional service and governance of the institution by giving leadership within the University/College/School/ Discipline.

7.4.8. Actively develop the next generation of academics.

7.4.9. Attract substantial funding from external sources to the institution.

7.4.10. Be dynamically involved in attracting leading researchers to the University through collaboration.

As a matter of best practices, the candidate shall provide evidence of excellent achievements in relation to expectations of academics at this level, nationally and internationally and in alignment with the four areas of assessment for appointment or promotion.

7.5. Research Scholar Level

Research Scholars hold the substantive position of associate or full professor.

The incumbent shall, *inter alia*:

7.5.1. Meet the criteria defined in Part IV: Annexure 7, the areas of evaluation of scholarship for appointment and promotion to Research Scholar level.

7.5.2. Be well-established national and international experts in their field.

7.5.3. Display a broad understanding of research and scholarship.

7.5.4. Lead the development and implementation of the university research and innovation strategy.

7.5.5. Coordinate research activity within identified strategic areas of the university.

7.5.6. Lead improvement of the research profile of the Discipline, School, College or University.

7.5.7. Attract substantial funding from external sources to the institution.

7.5.8. Possess an established international reputation for academic leadership.

7.5.9. Make regular and substantial original contributions to scholarship of outstanding quality as national and international experts in their field.

7.5.10. Purposefully attract leading researchers to the University through collaboration.

7.5.11. Earnestly develop the next generation of academics.

A Research Scholar is relieved of most undergraduate tuition but will retain the core functions of postgraduate supervision, leadership and administration and academic citizenship, in addition to the increased research function. A Research Scholar neither forfeits employee benefits nor receive additional remuneration. Line management for a Research Scholar rests with the Dean and Head of School in which the scholar is based.

7.6. Teaching Scholar Level

Teaching Scholars are senior academics at the level of associate or full professor.

Teaching Scholars shall, *inter alia*:

7.6.1. Meet the criteria defined in Part IV: Annexure 8, the Areas of Evaluation of Scholarship for Appointment and Promotion to a Teaching Scholar Level.

7.6.2. Demonstrate personal achievement in developing an external reputation for excellence in Learning, Teaching and Scholarship.

7.6.3. Evoke a leading international reputation for shaping the relevant field of study, reflected by a range of innovative teaching and learning activities.

7.6.4. Excel in making substantial and sustained contributions to a body of knowledge around learning and teaching.

7.6.5. Hold an excellent recognised career record of accomplishment as experts in their field with a broad understanding of SoTL.

7.6.6. Deliver regular and substantial original contributions to teaching and learning scholarship of outstanding quality as national and international experts in their field.

7.6.7. Cultivate public/professional service and governance of the institution by providing teaching and learning leadership within the University, College, School and Discipline.

7.6.8. Actively develop the next generation of academics in the Scholarship of Teaching and Learning.

7.6.9. Lead expansion of teaching and learning research in the Discipline, School, College, and University by attracting external funding to support teaching and learning projects.

7.6.10. Purposefully attract leading teaching and learning researchers to the University through collaborations.

A teaching Scholar neither forfeits employee benefits nor receive additional remuneration. Line management for a Teaching Scholar rests with the Dean and Head of School in which the scholar is based.

7.7. Leadership Scholar

Leadership Scholars hold the substantive position of associate or full professor.

The incumbent shall, *inter alia*:

7.7.1. Meet the criteria defined in Part IV: Annexure 9, the areas of evaluation of scholarship for appointment and promotion to a Leadership Scholar level.

7.7.2. Share and demonstrate a stronger sense of leadership philosophies and styles in various settings in the classroom, in the practice field, in a student organisation, and in the communities beyond our campus borders.

7.7.3. Participate in engaging seminars and classes by interacting with leaders within and off-campus and developing relationships with their peers, all with the intent of further developing their natural abilities to lead and serve.

7.7.4. Promote Leadership education training programmes that prepare staff and students for leadership roles on campus and in the wider community. Such training programmes will aim at facilitating personal exploration, community engagement, and collaborative problem-solving.

7.7.5. Demonstrate personal achievement in developing an external reputation for excellence in promoting academic citizenship, university leadership and administration and community engagement among staff in the University.

7.7.6. Identify and build networks while attracting leading fellow scholars, and public, private and civil society leaders, and also share best practices with staff and students on campus. Leadership scholars should also help provide students with access to service and leadership opportunities in wider society.

7.7.7. Bring students together from various backgrounds, academic Disciplines and experiences to expand their leadership education, including ethics, volunteerism, diversity, personal responsibility and more through public lectures, workshops, etc.

7.7.8. Cultivate public/professional service and governance of the institution by promoting research and best practices in leadership within the University environment.

7.7.9. Actively develop the next generation of academics in the Scholarship of Leadership.

7.7.10. Purposefully identify leadership capacity development opportunities and attract funding to develop leadership scholars in the University.

A leadership Scholar neither forfeits employee benefits nor receive additional remuneration. Line management for a leadership scholar rests with the Dean and Head of School in which the scholar is based.

7.8. Research Professor

The substantive position of a research professor is that of a Full Professor. The incumbent shall:

7.7.1. Meet the criteria defined in Part IV: Annexure 10, the areas of evaluation of scholarship for appointment and promotion to a Research Professor level.

7.7.2. Be well-established national and international experts in their field.

7.7.3. Display a broad understanding of research and scholarship.

7.7.4. Lead the development and implementation of the university research and innovation strategy.

- 7.7.5. Coordinate research activity within identified strategic areas of the University.
- 7.7.6. Lead expansion of the research profile of the Discipline, School, College or University.
- 7.7.7. Attract substantial funding from external sources to the institution.
- 7.7.8. Possess an established international reputation for academic leadership.
- 7.7.9. Make regular and substantial original contributions to scholarship of outstanding quality as national and international experts in their field.
- 7.7.10. Purposefully attract leading researchers to the University through collaboration.
- 7.7.11. Earnestly capacitate the next generation of academics with a propensity for research.

Research professors are relieved of undergraduate and honours tuition but will retain the core functions of postgraduate supervision, community engagement and academic citizenship, in addition to the increased research function. Research professors revert to their normal research and teaching roles when their five-year contracts expire. A research professor neither forfeits employee benefits nor receive additional remuneration. Line management for a research professor rests with the Dean and Head of School in which the scholar is based.

8. Evaluation of Applicants for Academic Appointments and Promotions

- 8.1. Both quantitative and qualitative standards and weightings shall provide a clear, rigorous set of objective /subjective criteria for each academic level of appointment or promotion. This criterion shall for example include grants, successful postgraduate (Masters and PhD for professoriate and honours for candidate aspiring for senior lecturer position) supervision, citations, h-index, quantity of publications in DHET accredited journals within a Discipline-specific context, NRF rating or comparable international rating, peer assessments, journal quartiles, journal impact factors, etc.
- 8.2. In acknowledging the value of publishing in high-impact journals, the selection committee relies on one or more of the qualitative and quantitative measures and journal quartiles as a reflection of journal prestige when scoring Research and Innovation.
- 8.3. The level of achievement shall as a broader guideline be determined by multiplying performance score [1-5] and the weighting provided for each of the four areas of evaluation of scholarship (Teaching and Learning; Research and Innovation; University Leadership and Administration; and Academic Citizenship) for each academic level.
- 8.4. Weighting, scoring, assessor evaluation and selection committee provide a holistic evaluation and the context in which the applicant's work occurs.
- 8.5. In evaluating academic performance, there shall be a thoughtful evaluation of performance since the last promotion or appointment.
- 8.6. The weighted point an absolute cut-off point but is calibrated after considering holistically the performance of the candidate in all the areas of assessment.
- 8.7. Research productivity and quality consideration include a combination of clear, tangible and objective /subjective indicators such as NRF or equivalent scientific rating from research councils; peer assessments, journal quartiles, the quantity of DHET accredited publications, citations, and h-index as viewed from individual disciplinary perspectives.

8.8. In light of the diversity and peculiarity of the Disciplines, the promotion or appointment process shall benchmark the candidate, especially with regard to grants, h-index citations, journal quartiles, NRF rating, etcetera from Discipline perspectives.

8.9. The same processes and procedures should be applied whether a candidate seeks a new appointment or promotion to a particular academic level.

9. Guidelines for Compilation and Evaluation of the Portfolios of Evidence

9.1 Guidelines for Compilation and Evaluation of Mini –Teaching, and Community Engagement Portfolios of Evidence

9.1.1. Purpose

The purpose of the mini-teaching, and community engagement portfolios of evidence respectively is to provide a live outline of teaching, and community engagement practices representing an all-round picture of the applicant's approach, capabilities and strengths in teaching, and academic citizenship (or community engagement) practices. The portfolios of evidence will normally consist of a statement on philosophy of teaching, and community engagement practice and appendices, which combine evidence from various sources. The mini teaching, and community engagement portfolios of evidence shall be assessed using and/or adapting (CHE/HELTASA) standards/framework. Each type of portfolio of evidence shall be assessed internally by respective assessment committees (i.e. College Teaching Portfolio Assessment Committee, CTPAC; and College Community Engagement Portfolio Assessment Committee, CCEPAC).

9.1.2. Assessment of Mini-Teaching, and Community Engagement Portfolios of Evidence

9.1.2.1. The five criteria for Mini-Teaching, and Community Engagement Portfolio of evidence evaluation are (1) statement on philosophy of teaching, or community engagement practice, (2) reflection on students (3) reflection on context, (4) reflection on knowledge and (5) reflection on growth. Applicants need to show engagement with all five areas. Applicants shall substantiate claims made in the teaching, and community engagement portfolio statement with evidence which could be in the form of examples in the teaching, and community engagement portfolio statement itself or written brief appendices. The size of the mini teaching, and community engagement portfolio of evidence shall be between 10-15 pages or a maximum of 7500 words (font 10, Times Roman, 1.0 spacing).

9.1.2.2. Appendices to the mini-teaching, and community engagement portfolio of evidence respectively requires the applicant to collect relevant support from various sources. Secondly, the applicant compiles the appendices with a teaching, and community engagement statement, cross-referencing the appendices consistent with the relevant five categories (in 9.1.1.1) upon which the applicant deliberates. The applicant then compiles appendices with the teaching, and community engagement Statement and lastly submits the mini-teaching, and community engagement Portfolio of evidence along with the application and supporting materials to the School Operations Manager.

9.1.2.3. Cross-reference appendices in teaching, and community engagement Statement: For example, if the teaching, and community engagement Statement claims that student evaluations of the applicant over the last few years have generally been positive, the statement could quote a summary of a student evaluation report. Then provide a reference to the entire report, which will be one of the appendices. It is helpful to arrange appendices according to the five (5) categories specified in 9.1.2.1.

9.1.1.4. Evidence for the mini-Teaching, and Community engagement Portfolio of evidence should include examples each from:

- Peer feedback;
- Student feedback;
- Student success data;
- External examiners' or supervisors' reports;
- Student involvement beyond the classroom.

9.1.1.5. The evidence should demonstrate how teaching, and community engagement by the applicant promotes student learning and the applicant's involvement with teaching and learning within the University and beyond. Some examples, amongst others, could include the following:

9.1.1.5.1. Conference papers presented on the subject of teaching/learning, and community engagement;

9.1.1.5.2. Articles or other publications on teaching/learning and community engagement (citations only or abstracts at the most);

9.1.1.5.3. Excerpts from moderation of examinations or/and dissertations or theses reports;

9.1.1.5.4. List of formal and non-formal continuing professional development that the applicant has undertaken;

9.1.1.5.5. List of students or staff mentored or supervised by the applicant;

9.1.1.5.6. A list of awards received by the applicant (where relevant).

9.1.1.6. The assessment of the mini teaching portfolio of evidence shall be undertaken by the College Teaching Portfolio Assessment Committee, CTPAC comprising:

- College Dean Teaching /Learning (Chair)
- All Academic Leaders of Teaching/Learning
- A distinguished teacher or a full professor with experience in assessing TPs if a distinguished teacher is unavailable
- Director QPA (or nominee).

Quorum: The quorum shall include;

- CDTL
- 2 AL (TL)
- Distinguished Teacher or a full professor with experience in assessing TPs if a distinguished teacher is unavailable
- Director QPA (or nominee)

9.1.1.6.1. CTPAC will award for each teaching portfolio assessed an ascending score of 1-5 which will be triangulated with the assessor's/referee's score on teaching/learning for the candidate. The triangulated score (CTPAC score + Assessor/Referee score) /2 will be used to compute and arrive at the overall points of the candidate on TL.

9.1.1.6.2. The College Teaching Portfolio Assessment Committee, CTPAC shall assist and provide ample workshops to the prospective candidates on the development of a mini-Teaching portfolio as per CHE/HELTASA standards/framework.

9.1.1.6.3. The Deans & Heads of School will dispatch the portfolios of evidence to CTPAC through the Chair by 1-15 May and the Chair will send scores of the assessed portfolios to Deans and Heads of School not later than 15 July.

9.1.1.6.4. The assessment of the mini Community Engagement portfolio of evidence shall be undertaken by the College Community Engagement Portfolio Assessment Committee, CCEPAC comprising:

- CDR – (Chair)
- CDTL
- All ALs (Community Engagement) –if they exist, or Community Engagement Champions, as approved by the relevant CAAB. [The champions may also be sourced from the centres/units that are involved in community engagement]
- AL (RHD) in the College
- AL (T&L) in the College
- QPA rep (For quality assurance & externality).

Quorum: Quorum shall include: CDR, CDT/L, 1 AL (RHD), 1 AL (TL), 1 AL (Community engagement)/Champion, and QPA rep.

9.1.1.6.5. CCEPAC will also assist in training candidates in compilation of the Community Engagement Portfolio of Evidence.

9.2. Guidelines for Compilation and Evaluation of Clinical Portfolio of Evidence

9.2.1. Domains of activities for clinical academics

There are 6 domains of professional activity for the academic clinician in which performance should be assessed. These are:

- 9.2.1.1. Competent, professional practice
- 9.2.1.2. Competent, professional management
- 9.2.1.3. Effective outreach
- 9.2.1.4. Improvement of services
- 9.2.1.5. Continuing professional development
- 9.2.1.6. Contribution to health systems and policy

A high level of commitment and performance is expected in each of these. Indeed, the academic clinician is expected to perform “excellently” as the basic standard. Such performance is classified as *strength*.

In some, but not all, categories, performance may attract a classification as *excellence*. This is a stretch goal, and *must clearly exceed the performance of a clinician working hard, conscientiously and competently*. In general it requires the employee to take on a role which significantly extends beyond the provision of a solid service with incremental improvements but results in improvements in service with a major impact on health provincially or nationally.

9.3. Performance management and promotion

For the purposes of performance management and promotion:

- An overall rating of **Strength** requires a *Strength* rating in **all** those categories not expressly excluded from the job profile.
- An overall rating of **Excellence** requires an *Excellence* rating in at least 2 categories, or a rating of *Excellence* in a single category in which there is clear evidence of sustained performance above and beyond expected performance leading to outcomes with a major impact on health and health practice.

9.3.1. Limitations

Areas of performance more appropriately assessed under *Teaching or Research* (e.g. undergraduate and postgraduate teaching) will not count towards performance in the clinical domain.

For Excellence, there must be evidence of a sustained contribution with completed milestones, a likely high-impact outcome or an actual completed outcome. Having committed to or started a project alone is not sufficient.

9.3.2. Competent, professional practice

The employee operates as a competent practitioner providing a high standard of care.

Strength:

- Provides the expected quantum of care
- Provides care of a high standard
- Behaves professionally

Excellence:

- None in this category

9.3.3. Competent, professional management

The employee manages a clinical service competently and professionally

Strength:

- Manages an efficient and professional service
- Is an effective line manager of subordinates
- Behaves professionally

Excellence:

- None in this category

9.3.4. Effective outreach:

The employee participates effectively in an effective outreach programme. Individuals may contribute to strengthening referral pathways intra- and inter-provincially; and they may develop and maintain various key external stakeholder relationships; and they may contribute as experts in various forums. As managers they may mentor and supervise junior staff in their clinical and professional development

As an individual:

Strength:

- Regularly visits outlying institutions as part of a structured and effective outreach programme which materially contributes to health improvement throughout KZN, strengthens referral pathways and reduces the upward referral of patients.

As a manager:

Strength:

- Ensures that subordinates and colleagues participate in a structured and effective outreach programme which materially contributes to health improvement throughout KZN, strengthens referral pathways and reduces the upward referral of patients.

In either category

Excellence:

- Develops new outreach programmes and structures which have a significant impact in KZN or further afield.

9.3.5. Improvement of services

The employee is effective in improving services

Strength:

- Incremental improvement or expansion of service as needed to expand coverage, quality or impact

Excellence

- Major innovations in, expansion of or improvement of services with a high impact on health

9.3.6. Continuing professional development

The employee is effective in maintaining and improving their professional skills and those of others.

Strength:

- Compliance with HPCSA CPD requirements
- Attendance at local clinical seminars
- Organisation of local and provincial clinical seminars and update meetings

Excellence:

- Leadership role in the organisation of national or international clinical seminars and update meetings

9.3.7. Contribution to Health Systems and Policy

The employee contributes to the development of health systems and health policy

Strength:

- Contributes to development of health policy within KZN or nationally

Excellence:

- Leadership role in formulating health policy or systems with a significant impact on health at provincial, national or international level, particularly where this is interdisciplinary

9.4. The assessment of the clinical portfolio of evidence shall be undertaken by School Clinical Portfolio Assessment Committee, SCPAC comprising:

9.4.1. For promotion to Senior Lecturer:

- Dean and Head of School
- AL of the Discipline
- Three professors from cognate Disciplines drawn from the School/College
- QPA rep

Quorum: The quorum shall include: DHoS, AL (of relevant discipline), 1 Professor (from cognate discipline), and QPA rep

9.4.2. For promotion to Associate Professor:

- Dean and Head of School
- AL of the Discipline
- Three professors from cognate Disciplines drawn from the School/College
- QPA rep

Quorum: The quorum shall include: DHoS, AL (relevant discipline), 2 Professors (from cognate discipline), and QPA rep

9.4.3. For promotion to Full Professor:

- Dean and Head of School
- AL of the Discipline (or Associate Professor or above from the Discipline)
- Three professors from cognate Disciplines drawn from the School/College
- QPA rep

Quorum: The quorum shall include: DHoS, AL (relevant discipline), 3 Professors (from cognate discipline), and QPA rep

10. Integrated Talent Management, and PM in Academic Appointments/ Promotions

As a matter of best practice, there is a nexus between Integrated Talent Management, Performance Management and Academic Appointments and Promotions (see Annexures 17 to 21).

10.1. The line manager shall have the designated responsibility of tracking the performance pathways of staff and inviting those who are deemed ready to apply for appointment or promotion to a senior academic position to do so.

10.2. The University has delegated the Deans and Head of Schools the responsibility to facilitate the implementation of the development plans, especially for young scholars through various capacity-building strategies.

11. Multiple Pathways to Academic Appointments and Promotions

11.1. At Lecturer Level, two (2) career pathways are established – the credentialing and appointment pathways respectively. The credentialing pathway is limited to internal permanent academic staff only while the appointment pathway is through an advert. The latter primarily recruits external candidates, although internal candidates may also apply.

11.2. Candidates aspiring for appointment /promotion to Senior lecturer level may elect to be weighted more in Research & Innovation (60% and Teaching/Learning 20% or vice versa), University Administration/Leadership 10% and Academic Citizenship 10%. They can also opt to be evaluated through Community Engagement pathway: Teaching/Learning 20%, Research and Innovation 20%, University Administration/Leadership 10% and Academic Citizenship (including community engagement) 50%.

11.3. At the professoriate level, five pathways are established – General career pathway, Teaching Scholar career pathway, Research Scholar career pathway, Leadership Scholar career pathway, and Research Professor career pathway.

11.4. The University Teaching and Learning Committee (UTLC) and the University Research and Ethics Committee (UREC), shall jointly develop clear guidelines and a monitoring mechanism for Research Professors, Research Scholars, Teaching Scholars and Leadership Scholars.

12. Mentorship and Retention of Junior Academics

12.1. In keeping with the University's philosophy of uplifting, rewarding and retaining staff, the respective Deans and Head of Schools shall formalise mentorship and capacity development for junior academics. In addition, the Deans and Heads of Schools shall create an enabling environment by enlisting senior academics to prepare and otherwise cultivate junior academics for a career in academia.

12.2. The Deans and Heads of Schools, in consultation with ED HR, shall prioritise building pipeline post-doctoral fellows, doctoral and master's students for an academic career by creating an intellectually stimulating, and career-enabling work environment that encourages the younger academics to remain at UKZN.

12.3. The Schools may consider adapting the NIH model used in the College of Health Sciences, Doctoral Academy in the College of Humanities or Mentorship Programme in the College of Agriculture, Engineering and Science for capacity building for emerging academics. The Research Professors, Teaching Scholars, Leadership Scholars and Research Scholars are best suited to drive such mentorship programmes.

12.4. An improved working ecosystem, a nurturing developmental environment, infrastructure, resourcing, and rewarding individuals with exceptional performance and training, are critical components in retaining the young academics at UKZN.

12.5. Due to high staff turnover at UKZN, it is important to prioritise attraction and retention of staff through competitive up market-driven remuneration and clearly defined development pathways for young academics. The ED HR, in consultation with Deans and Heads of Schools and based on national benchmarks, should develop criterion-based competitive remuneration packages for young academics who bring significant amounts of funding to the institution.

12.6. Professional and specific scarce skills Disciplines as outlined in the prevailing DHET Scarce Skills Gazette Notice where the attraction and retention of staff are critical, appointment and promotion processes shall be mindful of these matters. Hence, candidates for appointment or promotion in disciplines such as clinical medicine (including nursing and public health, laboratory medicine, medical sciences) engineering, law, accounting/ finance/auditing, architecture, creative/performing arts, applied human sciences, and scarce skills disciplines may qualify for Lecturer positions with professional qualification in lieu of a master's degree.

12.7. Candidates for appointment or promotion in disciplines such as clinical medicine (including, laboratory medicine and medical sciences, nursing and public health), engineering, law, accounting/ finance/auditing, architecture, creative/performing arts, applied human sciences (professional disciplines), and scarce skills disciplines may qualify for senior Lecturer positions with professional qualification or master's degree in lieu of a doctoral degree. All other criteria shall be met.

13. Guidelines on Acquisition and Utilisation of the Title of Professor at UKZN

The following guidelines apply for acquiring and using the title of Professor at UKZN

13.1. Academics earn the title 'Professor' through an academic appointment/promotion process according to the respective University policy, procedures and criteria. This provision also includes academics appointed or promoted to full professor.

13.2. Associate Professors promoted or appointed to the academic rank of associate professor may use the 'Professor' title verbally and in written documents.

13.3. Once the full or associate professor earns the title of 'Professor' (see 13.1. and 13.2.), the title may be retained for the duration of the staff members' employment at the University. That is, in the event that an associate or full professor receives an appointment to professional services or support position, setting the academic position aside, the individual may retain the title 'Professor'.

13.4. Honorary, Adjunct, Extraordinary and Visiting Professors and Associate Professors, approved as per relevant policy and procedures through the structures of the University, are allowed to use the title of Professor for the approved duration.

13.5. Professor Emeritus, approved as per the Policy and procedures through the structures of the University, may use the title for life. However, Senate may through a resolution of Council withdraw the title. The resolution may be reached if the Senate is dissatisfied with recipient's conduct that may likely bring the University into disrepute.

13.6. The University may assign an academic level, such as Associate Professor or Professor, to a staff member whose employment at UKZN was originally for a professional service or support position so long as the staff member has been evaluated using internal academic appointment and promotion procedures.

14. Utilisation of the Title of Professor at UKZN upon Resignation or Retirement

14.1. After resignation or retirement from the University, a professor or associate professor loses the academic rank associated with the position. Hence, the privilege of using the title ceases when s/he leaves the University.

14.2. Staff who have retired or resigned but were approved as per the relevant policy and procedures through the University structures as Professor Emeritus and Honorary, Adjunct or Visiting Professors or Associate Professor are allowed to continue to use the title as stated above.

15. Guidelines on Extension of Staff Appointments beyond Retirement

In 2018, Council decided that the retirement age for all employees will be sixty-five (65). Meaning, staff shall retire no later than 31 December of the year in which they reach the age of 65. However, such staff's appointment may be extended beyond retirement age, up to the age of seventy (70), to provide a mechanism for attraction or retention of highly sought-after skills that shall advance knowledge and skills transfer.

15.1. To be eligible for appointment beyond the normal retirement age of sixty-five (65), the academic staff shall:

15.1.1. Demonstrate high productivity supported by exceptional performance for the preceding three performance evaluation cycles on a continuous basis;

15.1.2. Have scarce (almost irreplaceable) skills (as defined, but not limited to, in the *National List of Occupations in High Demand* of the Department of Higher Education and Training (DHET));

15.1.3. Perform a significant part of their duties in knowledge and skills transfer.

15.2. Academic staff shall additionally:

15.2.1. Be NRF rated in A, B or C categories or hold comparable rating from international research councils;

15.2.2. Hold a grant in the year that they reach the age of 65; or

15.2.3. Possess highly sought-after skills as stated above and defined in the *National List of Occupations in High Demand* published by the DHET.

15.3. NRF or equivalent scientific rating from research councils; rated academic employees who continue service after the age of 65 with retention of funding for the post provided that:

15.3.1. They retain their NRF/comparable scientific rated status; and

15.3.2. Their continued service advances the transformation imperative of UKZN;

15.3.3. In the event that a staff's NRF or equivalent scientific rating from research councils rating is not renewed, the academic staff member shall retire no later than December of the particular year of the non-renewal of their rating or at age seventy (70), whichever occurs first.

15.4. For non-NRF rated academic staff, funding conditions for the position apply:

15.4.1. External funding shall be available for the remuneration of the employee whose service continues after reaching the normal retirement age of sixty-five (65);

15.4.2. The remuneration from the main budget linked to the post becomes available as the post that the staff member occupied becomes vacant;

15.4.3. In the event that the grant or external funding terminates prior to the employee reaching age 70, the employment will automatically terminate when the grant or external funding is no longer available.

16. Guidelines on Fractional Appointments

Academics who hold fractional appointments serve the core business of the University, raise the profile of the Discipline, School, College and University sub-nationally, nationally, regionally, continentally and globally.

17. Guidelines for the Award of Fellowships

17.1. The Senior Awards Committee, chaired by the Vice-Chancellor and Principal, determines the grant of Fellowship Awards to distinguished full professors or senior professors under prevailing Policy and procedures and in light of highly meritorious accomplishments.

17.2. Factors to consider when nominating permanent academics for Fellowship Awards:

17.2.1. Originality and creativity of the nominee as manifested in research or other work applications of the Discipline;

17.2.2. Publications (or their equivalent) are to be regarded as the primary evidence of original distinguished academic work, and such publications should make a significant contribution in the field;

17.2.3. Public presentation of work in the creative/performing arts are equivalent to research and publication;

17.2.4. Evidence of the national/international recognition of a nominee's work can be required where the field or activity takes this as a reasonable requirement, such as NRF or equivalent scientific rating from research councils; educational and other board membership and similar prestigious activities.

PART IV – ANNEXURES TO THE POLICY ON ACADEMIC APPOINTMENT AND PROMOTIONS (REVISED) 2022

ANNEXURE #	ANNEXURE NAME
1	Application Form
2	Criteria for Academic Credentialing to Lecturer Level
3	Criteria for Academic Appointment to Lecturer Level
4	Criteria for Academic Appointment and Promotion to Senior Lecturer Level
5	Criteria for Academic Appointment and Promotion to Associate Professor Level
6	Criteria for Academic Appointment and Promotion to Full Professor Level
7	Criteria for Academic Appointment and Promotion to Research Scholar Level
8	Criteria for Academic Appointment and Promotion to Teaching Scholar Level
9	Criteria for Academic Appointment and Promotion to Leadership Professor Level
10	Criteria for Academic Appointment to Research Professor Level
11	Assessor Appointment Letter
12	Assessor Report Template
13	Mini Teaching Portfolio of Evidence Template for the Applicant
13b	Clinical Portfolio of Evidence Template for the Applicant
13c	Mini Community Engagement Portfolio of Evidence for the Applicant
14	Line Manager Report Template
15	Talent Mapping of the Candidate by Line Manager
16	Feedback to Candidates on the Outcome of the Selection Process (Template)
17	Application Process
18	Evaluation of Applications
19	Outcome, Counselling and Feedback
20	Activities and Role-players in Policy Implementation
21	Academic Promotions Schedule

ANNEXURE 1: Application Form

1. Section A: Employee Information	
Personal Details	
Names of applicant:	
Staff number (if ever employed at UKZN):	
Email address:	
Telephone contact:	
Discipline/Field:	
Date of first appointment:	

Current post:		
Date of previous promotion:		
Proposed promotion (rank):		
Years of teaching or practice experience:		
Years of research experience:		
No of successful Postgraduate supervision to date:	PhDs:	
	Masters (Research):	
	Masters (Course work):	
	Honours:	
State if application is for appointment or promotion	Appointment:	
	Promotion:	
Career Pathway being Applied for (please tick):	Lecturer	Credentialing career pathway
		Appointment career pathway
	Senior Lecturer	General criteria pathway
		Research career pathway
		Teaching career pathway
		Community Engagement career pathway
	Associate professor Full Professor	General criteria career pathway
		Teaching Scholar career pathway

		Research Scholar career pathway
		Leadership Scholar career pathway
		Research Professor career pathway
	Academic Leader (discipline) Academic Leader (TL) Academic Leader (RHD) Academic Leader (AC/CE) Academic Coordinator	General criteria career pathway
		Academic Leader career pathway
		Leadership Scholar career pathway
		Research Scholar career pathway
		Teaching Scholar career pathway
	DVC/DHoS	General career pathway
		Leadership Scholar career pathway
		Teaching Scholar career pathway
		Research Scholar career pathway

Section B: Summary of Research Profile				
The overall number of career DHET journal/books/book chapters accredited publications to date				
Number of DHET accredited publications since last promotion				
Number of DHET book chapters accredited publication since last promotion				
Number of DHET books accredited publication since last promotion				
Number of DHET conference proceedings accredited publication since last promotion				
Number of invited Keynote presentations since last promotion				
Number of conference presentations since the last promotion				
Number of Research Productivity Units per year in the last three years (for UKZN staff)				
NRF or comparable Rating status (if available)				
Number of citations, H-index, i10 index, G-index	MathSciNet	*Google Scholar	*Scopus	Web of Science
	Citations =	Citations =	Citations =	Citations=
	H-index =	H-index =	H-index =	H-index=
	i10-index =	i10-index =	i10-index =	i10-index=
	G-index =	G-index =	G-index =	G-index=

*In considering impact of publications the Selection Committee may rely on journal impact factors, journal quartile (Q1 & Q2) or h-index (Scimago Scopus or Google Scholar) benchmarked within the respective field

Section C: Curriculum Vitae Format: NOTE: DO NOT USE FONTS OF LESS THAN 10.

C1. Education/Training (Begin with baccalaureate or other initial professional education and include postdoctoral training)

Institution and Location	Degree	Year (s)	Field of Study

D. Positions Held (employment – most recent listed first)

Institution	Position	Periods	Role in the position

D1. Research and Publication Impact

System	Date accessed	Your ID on system	Web-link to your page	Citations	H-Index	I10 index	G-index
Google Scholar							
Scopus							
Web of Science							
MathSciNet							

D2. Honours, Awards and Recognition for Scholarly activities including Research and Teaching

Honour/ Award/ Recognition	Institution granting award/ recognition	Date granted	Brief explanation of the award

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D3. Membership of National or International Academic Society, Advisory panel or Committee

Committee/Panel/Board	Society/Institution	Dates of service	Your Role

D4. Membership of Academic Conference Organising Committee

Conference Name	Society/Affiliation	Location and Date	Your Role

Section E: Peer-reviewed publications (in chronological order with latest dates first). Do not include publications submitted or in preparation. Attach proof of acceptance for publication where applicable. Entries should be numbered and co-authors shown, where applicable. Include page numbers to indicate the length of the various publications

E1: Journal Publications (Impact)

#	Year	Authors, title, journal, volume, pages	Your Contribution	Google Scholar Citations	Scopus Citations	Web of Science Citations	MathSciNet Citations	Journal Quartile Rank
1								
2								
3								

E2: Books (Impact)

#	Year	Authors, title, publisher details, pages	Your Contribution	Google Scholar Citations	Scopus Citations	Web of Science Citations	MathSciNet Citations
1							
2							

E3: Chapters in Books (Impact)

#	Year	Authors, title, publisher details, pages	Your Contribution	Google Scholar Citations	Scopus Citations	Web of Science Citations	MathSciNet Citations
1							
2							

E4: Peer Reviewed Conference Publications (Impact)							
#	Year	Authors, title, conference details, pages	Your Contribution	Google Scholar Citations	Scopus Citations	Web of Science Citations	MathSciNet Citations
1							
2							

E5: Conference Presentations				
#	Year	Authors, title, conference details	Your Contribution	Any Recognition (best paper, invited plenary, etc.)
1				
2				
3				

E6: Grants				
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Period	Funder	Title of Grant	Amount in ZAR or US\$	Your Role

Section F: Teaching. Indicate experience in curriculum/programme development; evaluation, undergraduate and postgraduate teaching; and postgraduate research supervision.

F1: Contact teaching experience (list modules taught and your role in those modules for the last five years).	
Module details	Your role in the module

F2: Curriculum and Programme Development and Evaluation for the last five years	
Explain the nature of the activity	Your role in this process

F3: *Postgraduate Student Supervision (Masters and Doctoral level). For Senior lecturer positions include successful Honours Supervision					
Student Name	Study Level	Period (indicate Graduation year if completed)	Thesis/Dissertation Title	Supervisor/ Co-supervisor	Institution

Section G: Service. Indicate your contribution to service. The contribution can include services at UKZN as well as at other academic institutions. List most recent contributions first.

G1: University Service: Position held

University	Position (incl. level)	Location and Dates	Comments

G2: University Service: Committee, panel, task team

University	Committee, panel, task team	Dates	Comments

Section H: Professional Practice or Service and Professional Recognition and Standing

Note: Only relevant for recognised professional practitioners registered with their professional body and providing remunerated service in their discipline.

H1: Professional Employment in Practice or Service

Employer	Position (incl. level)	Location and Dates	Your Role (incl. time on service)

H2: Honours, Awards and Recognition for Professional Activities

Honour/ Award/ Recognition	Institution granting award/ recognition	Date granted	Brief explanation of the award

H3: Membership of National or International Professional Committee, Board or Society

Committee/Panel/Board	Society/Institution	Dates of Service	Your Role

Section I: Impact on Society. Indicate here any areas where your Scholarship has been translated into impact on

society for the improvement of human welfare

J1: Scholarship translated for impact

Scholarly finding

Your Role

Impact on Society

Section J. Declaration by Applicant:

I hereby declare that the information given in this application is true and correct to the best of my knowledge and belief. In case any information given in this application is found false or incorrect, I shall be held responsible.

Signature:

Date:

Areas of Evaluation of Scholarship for Appointment and Promotion to a Particular Academic Level

ANNEXURES 2 to 10: Areas of Evaluation of Scholarship

1. Introduction to Evaluation Criteria

Scholarship has many different components, and evaluation of achievement should be a holistic one that weighs different elements to make an overall, integrated conclusion. This series of annexures, namely 2 to 10, establish the performance expectations at each academic level.

2. Areas of Evaluation of Scholarship for Appointment or Promotion to a Particular Academic Level

The following are the four areas for assessment of each candidate for appointment or promotion to a particular academic level:

- 2.1. Teaching and Learning
- 2.2. Research and Innovation
- 2.3. Leadership and University Administration
- 2.4. Academic Citizenship (including Community engagement)

3. Weighting each Area of Evaluation for a Particular Academic Level

3.1. During the holistic evaluation conducted by the selection committee on each candidate, referees/assessors and selection committees a point system shall be used. Table 1 shows the maximum weight to be achieved for appointment or promotion to a given academic level.

Table 1: Weighting for each Academic Level and Career Pathway

Academic Level	Teaching and Learning % Weight	Research and Innovation % Weight	Leadership and University Administration % Weight	Academic Citizenship (including community engagement) % Weight
Lecturer: credentialing	30	60	05	05
Lecturer: appointment	40	40	10	10
**Senior Lecturer				
a) General criteria career pathway	40	40	10	10
b) Teaching career pathway	60	20	10	10
c) Research career pathway	20	60	10	10
d) CE career pathway	20	20	10	50
Associate Professor	35	35	20	10
Full Professor	35	35	20	10
Research Scholar	20	60	10	10
Teaching Scholar*	20	60	10	10
Research Professor	Optional	80	10	10
Leadership Scholar	Optional	40	40	20
Academic Leader				
a) AL career pathway	30	30	30	10
b) L/Scholar career pathway	Optional	40	40	20
c) General criteria career pathway	General criteria career pathway as per academic level of applicant	General criteria career pathway as per academic level of applicant	General criteria career pathway as per academic level of applicant	General criteria career pathway as per academic level of applicant

* Teaching Scholar is expected to engage more in research on SoTL than the practice of teaching and learning.

** An applicant for promotion to a senior lecturer position may opt to be assessed through Community Engagement (CE) career pathway will be assessed through a portfolio of evidence (weighted at 50%).

Each candidate shall state explicitly in the application form the career pathway they wish to be evaluated in.

3.2. The Academic Appointment and Promotions process shall apply the points-system in the four areas of evaluation: Teaching & Learning, Research & Innovation, Leadership & University Administration, and Academic Citizenship (including community engagement).

3.3. The total Promotions Score is the sum of the weight (adapted from senate norms) in each of the evaluation areas multiplied by the performance score allocated to the candidate by the assessor or referee (on a continuum of 1-5 adapted from PM line of sight) (total score for a candidate may range from a minimum of 100 to a maximum of 500). These scores are arrived at following holistic evaluation of the applicant in each academic area of evaluation.

3.4. A minimum score of points in the four areas of evaluation is guideline required for appointment or promotion of a candidate to a particular academic level as follows: Lecturer (250) Senior Lecturer (300), Associate Professor (350), Professor (400) and Research Professor/Research Scholar/Teaching Scholar/Leadership Scholar (450).

3.5. The point system is a broad guideline and should not be used in a tick box manner instead, the candidate shall be evaluated holistically by the selection panel and assessors/referees in reaching a decision to appoint or promote to a particular level.

Table 2 below demonstrates an example of how the score is derived in the point system:

Table 2i: Maximum Scores and Points a Candidate may achieve in each Area of Evaluation

Area of Evaluation	Weight	*Score 1, 2, 3, 4, 5	**Points (Weight x Score)
1. Teaching and Learning	45	05	225
2. Research	40	05	200
3. Leadership &, University Administration	10	05	50
4. Academic Citizenship (including community engagement)	05	05	25
Sum of points in all areas of evaluation			500

** The minimum points for promotion to a particular academic level is calibrated on an increasing scale from lecturer to professor, as shown in Table 2ii below.

The maximum points that an applicant can score (assuming a maximum score of 05 in each assessment area) =500 (shown in Table 2i above).

Table 2ii: Minimum Scores and Points a Candidate may achieve in each Area of Evaluation

Area of Evaluation	Weight	*Score 1, 2, 3, 4, 5	**Points (Weight x Score)
1. Teaching and Learning	4 5	01	45
2. Research & Innovation	4 0	01	40
3. Leadership &, University Administration	1 0	01	10
4. Academic Citizenship (including community engagement)	0 5	01	05
Minimum Sum of Points in all areas of evaluation			100

**The total minimum points that a candidate may achieve (assuming a minimum score of 1 in each assessment area) =100 points as shown in Table 2ii above

The minimum points to be achieved by a candidate to earn appointment or promotion to a particular academic level is provided in Table 3 below.

Table 3: Minimum Points for Appointment/Promotion to a Particular Academic Level

Academic Level	Minimum Points for Appointment/Promotion to a Particular Academic Level
Lecturer (through Credentialing or Appointment)	250
Senior Lecturer	300
Associate Professor	350
Full Professor	400
Research Scholar/Research Professor/Teaching Scholar/Leadership Scholar	450

Table 4 Provides performance expectation in Research and Innovation for Senior Lecturer and Professoriate levels.

Table 4: Performance Expectations in Research & Innovation at Senior Lecturer and Professorial Levels			
Range of Scores	Professor/Research Scholar/Research Professor/Teaching Scholar/Leadership Scholar	Associate Professor	Senior Lecturer

Exceptional (score 5)	Recognised as one of the leading researchers/ creative artists in his or her field. Makes regular, substantial contributions to Scholarship of outstanding quality. Offers professional leadership and recognition through awards. Work attracts leading researchers to the University. Demonstrates mentorship and collaboration. High participation in research and conferences in the field.	Recognised as a leading researcher/creative artist in his/her field. Makes regular and major contributions to Scholarship of high quality. Demonstrates mentorship and collaboration. High participation in research and conferences in the field.	Recognised as a leading researcher/ creative artist in his/her field. Makes regular contributions to Scholarship of high quality.
Exceeds expectation (score 4)	Recognised as a leading researcher/ creative artist in his/her field. Is making regular and/or major contributions to Scholarship of high quality. Demonstrates mentorship and collaboration. Regular participation in research and conferences in the field.	Recognised as a leading researcher/creative artist in his/her field. Is making major contributions to Scholarship of high quality. Demonstrates mentorship and collaboration. Regular participation in research and conferences in the field.	Is beginning to be recognised as a contributor to research/creative areas in his/her field. Is making contributions to Scholarship of high quality.
Meets expectation (score 3)	Has made some contribution to knowledge production over the past 3 years. Attends few research conferences and seminars. Provides some leadership in research/ creative work.	Has made some contribution to knowledge production over the past 3 years. Attends few research conferences and seminars. Provides some leadership in research/creative work.	Has produced some research/creative work over the past 3 years. Attends few research Conferences and seminars. Minimal input to any Research/creative work group.
Improvement Needed (score 2)	Is not actively involved in research or the production of creative work. Attends few or no research conferences and seminars.	Is not actively involved in research or the production of creative work. Attends few or no research conferences and seminars.	Is not actively involved in research or the production of Creative work. Attends few or no research Conferences and seminars.
Unsatisfactory (Score 1)	Performance consistently below expectations in most essential areas of responsibility.	Performance consistently below expectations in most essential areas of responsibility.	Performance consistently below expectations in most essential areas of responsibility.

Annexures 2 to 10 of Part IV below summarise the specific levels of expectation for each academic level as a descriptor to guide the assessors, referees and selection committees. It is emphasised that a holistic evaluation is required. The criteria descriptors for each area of assessment should not be used as individual hurdles but as guides to inform the assessment. The weighting of descriptors, scope of scoring and range of scales are all intended to allow a flexible and holistic yet consistent and fair system of evaluating candidates for each academic level. It is expected that where an assessor gives credit for academic excellence, this can be substantiated within the application materials of the candidate.

The criteria descriptors for each academic level were benchmarked with comparable appointment and promotion policies of the universities shown in Table 4 and others in the country, region and beyond.

Table 4: Benchmarking of Criteria Descriptors in Higher Education Sector

Continent	Country	University
Africa	South Africa	University of Cape Town
		Stellenbosch University
		University of Johannesburg
		University of Pretoria
		University of Northwest
		Rhodes University
Africa	Uganda	Makerere University
	Botswana	University of Botswana
	Ghana	University of Ghana
Europe	United Kingdom	University of Glasgow
Oceania	Australia	University of Sydney
		University of Auckland
North America	United States	Rutgers University

Acknowledgement is hereby explicitly made to the universities reflected in Table 4 above.

The appointment and promotion policies of these universities were among the sources that were consulted in the compilation of criteria descriptors for the areas of evaluation of Scholarship to a particular academic level for the revised Policy document.

ANNEXURE 2: Criteria for Academic Credentialing to Lecturer Level

Qualification & Requirements	Teaching and Learning Weight: 30 %	Research & Innovation Weight: 60 %	Leadership & University Administration Weight: 05 %	Academic Citizenship (including Community Engagement) Weight: 05%
PhD (or equivalent) Evidence of sustained satisfactory performance since the time of employment at UKZN Positive supervisor report.	Evidence of lecturing or tutoring.	Evidence of completion of a PhD. Presentation at a national or international conference. Current research activity as evidenced by a publication in a peer-reviewed journal, book chapter and/ or conference	Evidence of involvement in any discipline/ school administration activity such as module and/or programme coordination.	Evidence of involvement in any community engagement activity within or outside the University (e.g. involvement in student registration, module coordination, etc.).

		proceedings is encouraged.		
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ANNEXURE 3: Criteria for Academic Appointment to Lecturer Level

Qualification and Requirements	*Teaching and Learning Weight: 40 %	Research and Innovation Weight: 40 %	Leadership and University Administration Weight: 10 %	Academic Citizenship (including community engagement) Weight: 10 %
PhD or Master's (or equivalent) in the discipline, or a specialist qualification. Meet or exceed performance expectations at the level of lecturer. Positive referee and supervisor reports. Where applicable, appropriate current registration with the relevant professional body.	Evidence of providing and facilitating teaching, learning, and assessment practices. Demonstrated knowledge of teaching quality standards and regulations of the University and School. Ability to develop teaching materials such as module guides, test papers, examination papers, assessment instruments, and workbooks. Ability to facilitate learning by teaching large or small groups of students, using different teaching methodologies. Ability to plan, implement and evaluate the offering of modules and programmes alone or within a team. Ability to reflect on own teaching	Evidence of submission of PhD for examination (if not yet completed). Ability to conduct individual and/or collaborative research projects. Current research activity as evidenced by a publication in a peer- reviewed journal, book chapter and/ or conference proceedings is encouraged. Evidence of presentations, at national or international conference. Evidence of familiarity with research funding procedure of the University.	Ability to make the necessary preparation and coordination of various teaching and examination schedules within the Discipline. Manage own teaching and research programmes efficiently. Ability to keep adequate records of teaching, and student performance. Evidence of willingness to undertake administrative duties as designated by the Discipline academic leader. Serves on Discipline or School, Committees.	Evidence of involvement in community engagement programs. Evidence of maintaining own professional registration, where applicable. Evidence of rendering service based on own knowledge and expertise in the discipline to colleagues, organisations and communities locally.

	practice and involve results of student feedback in this process. Deal professionally and positively with student concerns, problems and challenges. Recognition shall be given to any awards (institutional or national) in industry /teaching and learning.			
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ANNEXURE 4: Criteria for Academic Appointment and Promotion to Senior Lecturer Level

Qualification & Experience	Teaching & Learning (% Weight)	Research & Innovation (% Weight)	Leadership & University Administration (% Weight)	Academic Citizenship(including community engagement) (% Weight)
	General career pathway: 40 % Teaching career pathway: 60% Research career pathway: 20% CE career pathway: 20%	40 % 20% 60% 20%	10 % 10% 10% 10%	10% 10% 10% 50% (Community engagement portfolio of evidence)
A Doctoral / *Master's degree in the discipline. (*Master's degree or equivalent professional qualification is the minimum requirement for professional disciplines such as clinical disciplines, law, accounting and finance, architecture, creative/performing arts, engineering and Scarce skills disciplines. 3 years' working experience in either teaching, lecturing, research or industry in the relevant field or discipline. Performance meets or exceeds expectations consistently at the level sought for promotion or appointment. Positive referee and supervisor reports. Where applicable and especially in professional disciplines, registration with the appropriate	Portfolio of evidence related to improving Teaching/Learning experiences. Evidence of sound teaching philosophy with explanation of ways students learn and how teaching facilitates this learning. Evidence of innovative teaching techniques, methods, and materials that create interest, understanding and enthusiasm amongst students. Evidence of attempts to assist students to critically engage disciplinary knowledge presented to them. Evidence of using a range of learning practices that demonstrate good disciplinary knowledge. Evidence of strong alignment between outcomes, teaching and learning activities and assessments methods and criteria. Evidence of seeking ways to improving	Evidence of an emerging national reputation as a researcher in their field. Evidence of successful supervision of postgraduate students (at honours or masters or PhD level) as per senate norms for the last five years. Evidence of presentations or exhibitions at national and international conferences and other similar events. Production of important research articles or a significant creative project or participation in significant curated or group exhibitions, or significant performances. Publications within the range of 5 - 10 peer reviewed journal articles	Evidence of serving on School, or University committees, <u>OR</u> establishing and directing research projects, groups and teams. Involvement in leadership such as academic leader, programme and /or module coordinator. Evidence of involvement in module administration e.g. Exam coordination, liaising with examiners, maintaining the class register. Evidence of organising academic conferences, colloquia, exhibitions, productions in one's field. Involvement in student orientation activities and provision of curriculum advice to students.	Involvement in community engagement programmes. Candidates applying through Community Engagement career pathway shall submit a portfolio of evidence as per guidelines in Appendix 13c (Annexure IV). Placement of students to acquire experiential training or assessment of student progress in Work Integrated Learning environment. Evidence of an emerging academic engaging in partnerships with civil society, NGOs, industry CBOs in advancing the School's relevance Links with relevant industries and external bodies to encourage knowledge/ technology transfer Rendering service based on own knowledge and expertise in the discipline to colleagues, organisations and communities locally. Evidence of undertaking human capital development activities, which build capacity of people outside of the University and which impacts broader communities.

professional body.	performance by reflecting on teaching design and delivery and obtaining and analysing feedback from students, peers and other stakeholders. Evidence of involvement in regular curriculum development, design and review to ensure currency with local, international, global and disciplinary contexts. Programme design is responsive to diverse learning needs of a diverse student body. Recognition shall be given to any awards (institutional or national) in teaching and learning. 2.	/books/book chapters (or equivalent) in DHET/ SAPSE accredited outlets. Evidence of quality research outputs including creative works <i>based on</i> journals in good ranking, assessor reviews and NRF or equivalent rating from national or international research councils benchmarked in the applicant's field. Participation as a team member in a grant, or submission of grant applications as a Principal Investigator.	Evidence of organising conferences or running arts-based workshops or projects in off-campus communities and the public. Membership in national or international professional bodies; or Membership to a National Technical Committee or Commission; or Membership to a national taskforce or mission.
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ANNEXURE 5: Criteria for Academic Appointment and Promotion to Associate Professor Level

Qualification & Experience	Teaching & Learning Weight: 35 %	Research & Innovation Weight: 35 %	Leadership & University Administration Weight: 20 %	Academic Citizenship (including community engagement) Weight: 10 %
A PhD in the relevant discipline. 6 years' working and relevant experience in either teaching, lecturing, research or industry. Meets or exceeds performance expectations at the level sought for promotion or appointment over the last three years. In addition to all of the above, where applicable and especially in professional disciplines, registration with the appropriate professional body.	Portfolio of evidence related to improving teaching and learning or / and clinical practice experiences assessed positively by the relevant committee, including positive peer and student reviews. A clearly articulated philosophy of teaching and learning or/and clinical practice which reflects understanding of how students learn and which acknowledges contemporary thinking related to teaching and learning in the discipline or in clinical practice. Strong alignment between outcomes, teaching and learning activities and assessments methods and criteria. Evidence of innovative teaching methodologies and pedagogy, including evidence of the use of ICT and other applications for promoting independent student learning. Employment of a range of learning or clinical practices that demonstrates good disciplinary knowledge.	Produces impactful and quality research such as monographs, journal articles, book chapters and conference presentations reflected h-index (Scimago Scopus benchmarked in the field), impact factors, journal quartiles (Q1 or Q2) or level of NRF /equivalent national or international rating or peer reviews. <u>OR</u> Creative outputs of quality on regular basis reflected in h-index (Scimago Scopus benchmarked in the field), Journal impact factors, journal quartiles (Q1 or Q2), NRF/equivalent rating from national/international research councils or peer reviews. Regular conference participant, often by invitation, to national and international meetings. Evidence of a record of research and publication averaging career total of between 18 -30 -peer reviewed journal articles/book chapters/books (or equivalent) in DHET/SAPSE accredited outlets. Candidates in creative and performing arts,	Evidence of providing service in leadership positions as Academic Leader of a discipline and/or, Dean and Head of School and/or, Programme and/or Examination Coordinator. Evidence of having made strategic decisions to use the best means that achieve organisational goals. Evidence of maintaining own professional registration. Evidence of mentorship of early career and other scholars in the School, College or University. Evidence of establishing and directing research projects, groups and teams. Involvement in organising academic conferences, colloquia, exhibitions, productions and workshops that attract recognised intellectual leaders in one's field. Serves on School, College or University Promotion selection	Evidence of having developed links with relevant industries and external bodies to encourage knowledge/ technology transfer opportunities and creation of opportunities for future research projects. Evidence of rendering service based on own knowledge and expertise in the Discipline to colleagues, organisations and communities, nationally and internationally. This could be consultation, collaboration involvement in policy processes or projects. Provision of leadership nationally or internationally in own Discipline through consultation, policy development, review, or project involvement. Initiation of signed MOUs with external institutions nationally and internationally. Evidence of invitations to deliver key-note speeches, review papers or actively participate in academic societies or having been invited as assessor for major grant awarding bodies. Actively provides service as an office-bearer in, and active membership of, a professional society; or editor of professional research journals, including electronic

	Evidence of seeking ways of improving performance by reflecting on teaching /clinical practice design and delivery and obtaining and analysing feedback from students/clients, peers and other stakeholders. Evidence of involvement in regular curriculum development, design and review to ensure currency with local, international, and disciplinary contexts. Engagement with students/clients from a broad range of backgrounds and learning (dis)abilities through well designed and paced teaching /clinical practice which promotes understanding. Major role-player in undergraduate and postgraduate teaching/clinical practice. Evidence of effective mentorship of emerging academics in Teaching and Learning/Clinical practice. Recognition shall be given to any awards (institutional or national) in teaching and learning or clinical practice.	clinical (including nursing and public health; laboratory medicine and medical sciences), professional disciplines in applied human sciences, accounting/finance, architecture, law, engineering fields and Scarce skills disciplines as outlined in the prevailing DHET Scarce Skills Gazette Notice will have published a minimum career total of 15 -20 articles /book chapters/books or equivalent in DHET/SAPSE in accredited outlets. Evidence of track record of sustained research and publications since the last appointment or promotion to senior lecturer. Demonstrated evidence as an independent researcher. A sustained track record of successful supervision of Masters /PhD students for the last five years as per the senate norms taking into account the relative numbers of PG students in the discipline. Evidence of planning and initiating discipline and multi-disciplinary research programmes and involvement of junior faculty and students in these programmes. Evidence of sustained and successful attraction of research grant from	Committees	journals, or active service on national committees and agencies (for example, the NRF/equivalent national or international rating research councils.
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		external sources into UKZN benchmarked within the field nationally for that academic level in the last five years.		
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ANNEXURE 6: Criteria for Academic Appointment and Promotion to Full Professor Level

Qualification & Experience	Teaching & Learning Weight: 35 %	Research & Innovation Weight: 35 %	Leadership & University Administration Weight: 20 %	Academic Citizenship (including community engagement) Weight: 10 %
A PhD in the relevant discipline. 9 years' working experience in either lecturing, research or industry in the relevant field. At least five years must have been spent in postgraduate teaching or developing junior academics. Meets or exceeds performance expectations consistently at the level sought for promotion or appointment for the last three years. In addition to all of the above, where applicable especially in professional disciplines, registration with the appropriate professional body is a requirement.	Portfolio of evidence related to improving teaching / learning practice. Clearly articulated philosophy of teaching and learning/clinical practice which reflects understanding of how students learn and the role of teaching plays in facilitating learning; and which acknowledges contemporary thinking related to teaching and learning in the field. Demonstrated high level of coherence between philosophy of teaching or clinical practice and also a strong alignment between outcomes, teaching and learning /clinical practice activities and assessments methods. Evidence of innovative teaching /clinical practice methodologies and pedagogies including	Produces impactful research such as monographs, journal articles, book chapters and conference presentations reflected in h-index (Scimago Scopus) benchmarked within the field of the applicant nationally and internationally at that academic level; journal impact factors, journal quartiles (Q1 & Q2) NRF/equivalent national or international rating and peer reviews. <u>OR</u> Produces creative outputs of quality on a regular basis reflected in h-index (Scimago Scopus) benchmarked within the field of the applicant nationally and internationally at that academic level; journal impact factors, journal quartiles (Q1 & Q2), NRF/equivalent national or international rating and peer reviews. An excellent and sustained track record of research and publications averaging	Evidence of a sustained level of intellectual leadership within School/ College/University. Willingness to take part in management-related activities at all levels (Discipline, School, College or University) by contributing to committees. Serves on approved University Committees such as School boards, T/L committee, RHD committee, CAAB, Senate, Council or University Task Force, etc. Sustained commitment to, and development of, partnerships with external organisations involved in widening access and other forms of outreach. Demonstrates involvement in organising academic conferences, colloquia, exhibitions, productions and workshops that attract recognised intellectual leaders in the applicant's field.	Provides leadership nationally or internationally in own discipline through consultation, and policy development that enables knowledge transfer and promotes research projects. Delivers key-note speeches and contributes to learned or professional bodies. Evidence of track record of participation in major government advisory bodies or agencies. Evidence of international collaboration through joint publication/s. Drives off-campus activities, for example in Parliament, government agencies, or civil society. Plays a participatory role in academic community activities such as invitations to review papers and adding value to academic societies.

	evidence of the use of ICT and other applications for promoting independent learning. Evidence of seeking ways of improving performance by reflecting on teaching /clinical practice design and delivery and obtaining and analysing feedback from students, peers and other stakeholders. Evidence of active involvement in the development/reform of teaching modules, or curricula to ensure currency with local, and international disciplinary contexts. Engagement with students from broad range of backgrounds and learning (dis)abilities through well designed and paced teaching which promotes understanding and application of knowledge. Evidence of participating as external examiner of Masters dissertations and PhD theses. Evidence of effective mentorship of emerging academics in the Discipline, School, College or University. Supports and guides	a career total of 31-40 peer reviewed journal articles/book chapters/books in DHET/SAPSE accredited outlets. Candidates in creative and performing arts, clinical (including nursing and public health; laboratory medicine and medical sciences), professional disciplines in applied human sciences, accounting/finance, architecture, law, engineering fields and Scarce skills disciplines as outlined in the prevailing DHET Scarce Skills Gazette Notice will have published a minimum career total of 24 -30 articles /book chapters/books or equivalent in DHET/SAPSE in accredited outlets. Evidence of track record of sustained research and publications since the last appointment or promotion to associate professor. A sustained track record of successful supervision of Masters /PhD students for the last five years as per the senate norms taking into account the relative numbers of PG students in the Discipline. Demonstrated strong evidence of independent Scholarship. Evidence of a significant body of	Chairs committees and participates in College decision-making and governance including contribution to University policy formulation. Leads projects, supervises work of others, for example in research teams, projects, and more. Represent the Discipline, School or College at meetings outside the University.	Evidence of community human capital development activities, which build capacity of people outside of the University Evidence of active service as an office-bearer in, and active membership of, a professional society, Editor of professional and research journals, including or books; service on national committees and agencies (for example, the NRF/equivalent national or international research councils). Affirmatively responds to invitations to give public lectures or participating in public (including continuous) education activities. Initiates MOUs with external institutions nationally and internationally. Holds membership to a national technical committee, commission or taskforce. Serves on national or international expert panels for such organisations as NRF/equivalent research councils, WHO, World Bank, and others.
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	students into understanding how knowledge is constructed in the Discipline in innovative and thoughtful ways at undergraduate and postgraduate levels. Recognition shall be given to any awards (institutional or national) in teaching and learning/clinical practice.	work that has attracted national or international recognition. Evidence of publication in high impact journals in quartiles Q1 and Q2 in the Discipline. Evidence of sustained record of attracting substantial research grants from external sources into UKZN benchmarked within the field of the applicant nationally and internationally. Demonstrated track record in initiating international research collaboration evidenced through signed MOUs. A track record of successful supervision of Master's and PhD students as per senate norms for the last five years taking into account the relative numbers of PG students in the Discipline. Evidence of providing intellectual leadership within the Discipline/School, which may include, but is not limited to: stimulating debate and discussion that leads to new intellectual and/or creative productivity. Evidence of providing guidance to colleagues especially junior staff through mentorship that enables them to develop their intellectual capacities. Evidence of involving junior academic staff		
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		members in research groups and publications. Carries out independent research and acts as principal investigator and project leader.		
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ANNEXURE 7: Criteria for Academic Appointment and Promotion to Research Scholar Level

Qualification & Experience	Research & Innovation Weight: 60 %	Teaching & Learning Weight: 20 %	Leadership & University Administration Weight: 10 %	Academic Citizenship (including community engagement) Weight: 10 %
A PhD in the relevant discipline. Holds at least Associate Professor position. 8 years' working experience in either, research or industry in the relevant field. At least five of the years must include postgraduate supervision or developing junior staff in research. Meets or exceeds performance expectations at the level sought for promotion or appointment for the last three years. Has international recognition as an eminent scholar in the discipline. Where applicable especially in professional disciplines, registration with the appropriate professional body is a minimum requirement.	Track record of demonstrated excellent performance in research and scholarship. Track record of producing research output consistent with a full professor as per the UKZN Research Policy for the past five years. Holds an NRF/equivalent national or international rating benchmarked within the field nationally and internationally. Demonstrated continuous improvement on their NRF/equivalent rating unless A-rated. Leads the development and implementation of the University research and innovation strategy, often by developing and overseeing research groups in undertaking research projects. Assists with establishing an enabling research and innovation environment, through activities such as reviewing of research applications proposals, policies and procedures. Contributes to the creation and maintenance of a research culture in the Discipline and School where he or she is based. Encourages critical discourse and Scholarship at the University through symposiums and	Supports and guides students into understanding how knowledge is constructed in the discipline in innovative and thoughtful ways at undergraduate and postgraduate levels. Shows outstanding teaching /clinical practice evidenced by competence throughout the spectrum of teaching /clinical practice responsibilities together with results from, peer assessment, undergraduate, postgraduate student feedback, external examiner feedback and teaching awards. Significant innovation including inquiry-based teaching & learning, use of ICT across a range of levels that has affected Higher Education practice globally. Regular and rigorous review of programmes /courses to ensure that they are relevant to and current with local, and international disciplinary contexts.	Serves on University Committees such as RHD committee, CAAB, Senate, Council, University Task Force, etc. Chairs committees and participates in College decision-making and governance including contribution to University research policy formulation. Plays a key participatory role in strategic planning for research in the Discipline, School and College. Evidence of developing junior staff to participate in the administration, and research in the Discipline/School/College /University. Leads improvement of the research profile of the Discipline, School, College or University as a project leader, supervising the work of others, for example, in research teams and projects. Represents the Discipline, School or College at research meetings outside the University.	Provides leadership nationally and internationally in own Discipline through consultation, policy development and project implementation that enables knowledge transfer and promote research projects. Displays sustained commitment to, and development of, partnerships with external organisations involved in widening access and other forms of outreach. Regularly involved in organising academic conferences, colloquia, exhibitions, productions and workshops that attract recognised intellectual leaders in the applicant's field. Delivers key-note speeches and contributions to learned societies or professional bodies. Maintains a track record of participation in major government research related advisory bodies or agencies. An engaged research scholar who has driven off-campus activities, for example in Parliament, government agencies, or civil society.

	workshops. Demonstrated track record of attracting external research grants into UKZN as a principal investigator Benchmarked within the field nationally and internationally. Demonstrated evidence of initiating international research collaboration evidenced by the MOUs signed. A track record of successful research supervision evidenced by graduation of several Master's and PhD students for last five years as prescribed by the senate norms for full professor. Produces impactful research such as monographs, journal articles, book chapters and conference presentations or creative outputs of quality on a regular basis reflected in h-index in SC imago (Scopus); journal impact factors, journal quartiles (Q1 & 2), level of scientific rating as a scholar by a relevant national or international body. An excellent and long-standing track record of research and publications with career total of between 41 -50 peer reviewed journal articles (or equivalent)/books/book chapters in DHET/SAPSE accredited outlets. Candidates in creative and performing arts, clinical (including nursing			Participation and role in academic community activities such as affirmatively responding to invitations to review papers, and participating in academic societies. Evidence of community human capital development activities, which builds research capacity of people outside of the University and impacts broader communities and society that the University serves. Evidence of active service as an office-bearer in, and active member of, a professional society; a reviewer as a member of an editorial board) of professional and research journals. Evidence of active service on national committees and agencies (for example, NRF or equivalent national or international scientific bodies. Membership to a National Technical Committee, Commission or Taskforce to promote research and Scholarship Serving on national or international expert research advisory panels such as NRF or equivalent, WHO,
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	and public health; laboratory medicine and medical sciences), professional disciplines in applied human sciences, accounting/finance, architecture, law, engineering fields and Scarce skills disciplines as outlined in the prevailing DHET Scarce Skills Gazette Notice fields will have published a minimum career 30-40 articles/ book chapters/books or equivalent in DHET/SAPSE accredited outlets Evidence of track record of sustained research and publications since the last appointment or promotion. Demonstrated evidence of independent Scholarship. Evidence of track record of sustained research and publications since the last appointment or promotion. Demonstrated evidence of developing and maintaining an active research programme reflected in regular publications and presentations of research data at national and international scientific forums. Provides intellectual leadership within the Discipline/School/College, which may include, but is not limited to: stimulating debate and discussion that leads to new intellectual and/or creative productivity.			World Bank, and others. Responsive to invitations to give public lectures or to participate in public capacity building including continuous education. Initiating and signing MOUs with external institutions nationally and internationally.
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	A leader in collaborative research projects and partnerships with disciplines internal and external to the University of KwaZulu-Natal. Evidence of contributions made to research seminars and conferences at national and international levels.			
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ANNEXURE 8: Criteria for Academic Appointment and Promotion to Teaching Scholar Level

Qualification & Experience	Teaching & Learning (Improving TL Practices) Weight: 20%	Scholarship of Teaching & Learning (SoTL) Weight: 60 %		Leadership & University Administration Weight: 10 %	Academic Citizenship (including community engagement) Weight: 10 %
A PhD in the relevant discipline. Holds the rank of an associate or full professor. At least 8 years' working experience in either, research or industry in the relevant field. At least five of the years must have included postgraduate supervision or developing junior staff in the Scholarship of teaching and learning. Meets or exceeds performance expectations consistently at the level sought for	Portfolio of evidence related to improving learning and or clinical practice administration and leadership. A clearly articulated philosophy of teaching and learning/clinical practice which reflects understanding of leadership of contemporary thinking related to teaching and learning/clinical practice in the discipline. Evidence of leadership in championing innovative teaching /clinical practice methodologies and pedagogy, including	Evidence of influencing or effecting positive changes in teaching practice within the Discipline at national and international level. Significant L&T or related innovation that has impacted on Higher Education practice nationally and globally. Substantial and sustained track record of excellence in contributing to curriculum development, course design and other initiatives that advance the University's ability to excel in its teaching and learning mandate.		Track record of leadership of the development of policy at national and international levels. Evidence of a sustained level of leadership that has led to the enhancement of the student experience at subject/School/College or University level. Leadership of staff with evidence of impact on the learning and teaching culture and practices, and associated staff development. Educational leadership and policy contributions in the form of championing learning and teaching internally and externally and/or championing integrated academic practice. Leadership of partnership	Extensive experience of advising governmental and non-governmental agencies on educational policy. Track record of participation in major government education advisory bodies or agencies with remits covering the education sector as a whole. Provides plenary/keynote addresses at major international conferences and/or invitations to deliver distinguished named lectures/lecture series in the SoTL. Winner of medals/prizes from national or international bodies in

promotion or appointment for the last three years. Where applicable especially in professional disciplines, registration with the appropriate professional body is a minimum requirement.	evidence of the use of ICT and other applications for promoting independent student learning. Evidence of providing leadership in assisting students to critically engage with disciplinary knowledge presented to them. Employment of a range of learning practices that demonstrates good disciplinary knowledge leadership. Demonstrated leadership in seeking ways of improving performance by reflecting on teaching /clinical practice design and delivery and obtaining and analysing feedback from students, peers and other stakeholders. Evidence in leading regular curriculum development, design and review to ensure currency with local, and international disciplinary contexts. Engagement with students from a broad range of backgrounds and learning (dis)abilities through well designed and paced teaching/clinical practice which promotes understanding. Major role-player in	Development of new teaching materials or methodologies influenced by pedagogy of the subject. Development of successful teaching collaborations across disciplinary boundaries. Innovation with regard to one or more of the following areas is essential: curriculum revision, teaching methods, the incorporation of technology into T&L, supervision and aspects of academic development. Contributes significantly to successful supervision of postgraduate students as evidenced by sustained successful graduation of Master's and PhD students as per senate norms for the last five years equivalent to that of associate or full professor. Promotion of non-traditional forms of learning such as work-based learning and assessment, student enterprise, and inter-disciplinary learning. Exemplary supervision which guides and supports all	activities / collaborations in the SoTL. Evidence of a sustained mentorship of Early Career staff that has led to the enhancement of the student experience at subject, Discipline, School, College or institutional level in SoTL. Serves on approved University committees such as School boards, T/L committee, RHD committee, CAAB, Senate, Council, and University Task Force, etc. Involvement in organising academic conferences, colloquia, exhibitions, productions and workshops that attract recognised intellectual leaders to promote the SoTL. Contributes to University policy formulation in the SoTL.	the SoTL. Participates as a visiting international scholar to promote the SoTL. Chair/leader of a major subject-specific society or holds Fellowship of subject specific societies. Membership of the steering committee or other similar executive role within national and international bodies concerning teaching in higher education. External awards for contributions to the SoTL. Editorial roles in leading journals or books on the SoTL. Demonstrates leadership nationally or internationally in the SoTL through consultation, policy development or project implementation. Track record of participation in major government advisory bodies or agencies to promote the SoTL. Evidence of international collaboration through joint publication/s on the SoTL. Participation and role in academic community activities such as invitations to review papers, and participation in
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	undergraduate and postgraduate teaching leadership. A track record of successful supervision at Masters and PhD level consistent with professoriate level at UKZN benchmarked in the field nationally and internationally. Leadership as external examiner of Master's / PhD theses, and examination coordination. Demonstrated leadership in mentorship emerging academics in leadership practice. Recognition shall be given to any awards (institutional or national) or recognition in leadership.	students to produce rigorous research or sound clinical professional practice. Strong evidence of effective formal or informal mentorship of less experienced staff in the SoTL. A sustained record of publication resulting in an outstanding body of world-leading scholarly outputs such as external policy and professional reports; monographs, text books, and book contributions in the Scholarship of teaching and learning. Sustained record of success in knowledge creation and transfer to benefit external parties and with evidence of impact. Substantial engagement with external bodies that influences practice and/or policy in the SoTL. Sustained commitment to, and development of, partnerships with external organisations (such as schools, Education authorities and others) involved in widening access and other forms of outreach. Evidence of sustained track record of research and publication averaging career total of 41-50 peer reviewed journal articles (or equivalent) in DHET/SAPSE accredited journals/books/book chapters. Candidates in creative and performing arts, clinical (including nursing and public health; laboratory medicine and medical sciences), professional disciplines in applied human sciences,		academic societies in the SoTL. Initiating and signing MOUs with external institutions nationally and internationally on the SoTL. Membership to a national technical committee, commission or taskforce in the SoTL.
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		accounting/finance, architecture, law, engineering fields and Scarce skills disciplines as outlined in the prevailing DHET Scarce Skills Gazette Notice will have published a minimum career total of 30-40 articles/ book chapters/books or equivalent in DHET/SAPSE accredited outlets. A track record of sustained research and publications since the last appointment or promotion. Demonstrable high impact publications as reflected in h-index in Scimago (Scopus) consistent with that academic level nationally and internationally in the candidate's field. NRF /equivalent national or international rating from scientific research council. Evidence of sustained record of attracting substantial research grants from external sources into UKZN in the last five years benchmarked within the field and discipline nationally and internationally equivalent to the level of associate or full professor. Track record of initiating international research collaboration evidenced through MOUs to support the SoTL. Providing guidance to colleagues that enables them to develop their capacities – including mentoring junior staff in SoTL. Evidence of contributions made to research seminars and conferences in the SoTL.		
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ANNEXURE 9: Criteria for Academic Appointment and Promotion to Leadership Scholar Level

Qualification & Experience	Research & Innovation Weight: 40 %	Leadership & University Administration Weight: 40 %	Academic Citizenship (including community engagement) Weight: 20 %
A PhD in the relevant discipline. 8 years' working experience in either teaching, lecturing, research or industry in the relevant field. Evidence of holding institutional or national management position such as Academic leader/ Coordinator, Director of a centre or Unit, Dean, DVC for at least three years. Holds the rank of associate or full Professor Meets or exceeds performance expectations consistently at the level sought for promotion or appointment for the last three years. In addition to all of the above, where applicable and especially in professional disciplines, registration with the appropriate professional body is a minimum requirement.	Produces impactful research such as monographs, journal articles, book chapters and conference presentations in the Scholarship of Leadership, reflected in h-index in Scimago (Scopus) benchmarked within the field and the discipline nationally and internationally for that academic level, journal impact factors, journal quartiles (Q1 & Q2), NRF /equivalent national or international rating scientific research council. <u>OR</u> Produces creative outputs of quality on regular basis in the Scholarship of Leadership reflected in some top leadership journals reflected by h-index in Scimago (Scopus) benchmarked within the field and the discipline nationally and internationally for that academic level, journal impact factors, journal quartiles (Q1 & Q2), NRF /equivalent national or international rating scientific research council. Evidence of sustained track record of research and publication in leadership averaging a career total of 31-40 peer reviewed journal articles (or equivalent) in DHET/SAPSE accredited journals/books/book chapters.	Demonstrates consistently an excellent innovation and decision-making track record in the School, College and University. Evokes outstanding leadership and organisational ability in a research group. Leader in initiatives to advance Disciplinary activities/programmes outside UKZN. Demonstrated evidence of sharing and a stronger sense of leadership philosophies and styles in a variety of settings – in the classroom, on the practice field, in a student organisations, and in the communities beyond campus borders. Evidence of providing service in leadership positions as Academic Leaders of a Discipline and/or, Dean and Head of School, DVC, Director of research Unit/Centre, Programme/ Examination Coordinator. Evidence of having made strategic decisions to use the best means that achieve organisational management/leadership goals. Sustained commitment to, and development of, partnerships with external organisations involved in widening access to external funding and best practices and other forms of outreach. Outstanding mentorship of early career and other scholars in the School, College or University in	Leadership in developing links with relevant industries and external bodies to encourage knowledge/ technology transfer opportunities and creation of opportunities for future research projects. Consistent and respected contributions to learned societies as Chairperson, Executive Officer, Editor, etc. Plays influential role in national and international subject related committees and organisations. Provides leadership in rendering service based on own knowledge and expertise nationally or internationally in such areas as consultation, collaboration involvement in policy processes or projects. Initiation of signed MOUs with external institutions nationally and internationally. Evidence of invitations to deliver key-note speeches, review papers or actively participate in academic societies Invited as assessor for major grant awarding bodies in areas related to Scholarship of Leadership. Evidence of providing leadership in community human capital development activities, which build capacity of people outside of the University and impacts broader communities and

	Candidates in creative and performing arts, clinical (including nursing and public health; laboratory medicine and medical sciences), professional disciplines in applied human sciences, accounting/finance, architecture, law, engineering fields and Scarce skills disciplines as outlined in the prevailing DHET Scarce Skills Gazette Notice will have published a minimum career total of 24-30 articles/ book chapters/books or equivalent in DHET/SAPSE accredited outlets. Evidence of track record of sustained research and publications since the last appointment or promotion. Demonstrable successful supervision at Masters/ PhD level consistent with senate norms for the last five years equivalent to an associate or full professor. Evidence of a significant body of work in the Scholarship of Leadership that has attracted national or international recognition. Evidence of leadership in developing own active research programme evidenced by a track record of accessing grants from outside UKZN in the last five years expected of a scholar at the level of associate or full professor nationally and internationally. Evidence of planning and initiating Discipline and multi-disciplinary research programmes and involvement of junior faculty and students in these programmes.	leadership. Demonstrated leadership in establishing and directing research projects, groups and teams. Provision of leadership in organising academic conferences, colloquia, exhibitions, productions and workshops that attract recognised intellectual leaders in the applicant's field. Actively involved in developing the next generation of academics in the Scholarship of Leadership.	society. Demonstrated evidence of actively providing service as an office-bearer in, and active membership of, a professional society. <u>OR</u> editor of professional research journals, including electronic journals. <u>OR</u> active service on national committees and agencies (for example, the NRF/equivalent research councils) concerned with tertiary education and research. Evidence of leadership in organising conferences and colloquia in the Scholarship of Leadership. Shows evidence of participating in engaging seminars and classes by interacting with leaders within and off campus. Capacity of developing relationships with peers with the intent of furthering their natural abilities to lead and to serve society. Ability to bring students together from a variety of backgrounds, academic disciplines and experiences for the purpose of expanding their leadership education including ethics, volunteerism, diversity, and personal responsibility through public lectures, workshops, etc.
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	Evidence of active and sustained contributions made to research seminars and conferences. Evidence of attracting leading fellow scholars, community leaders, leaders in private and public sector to share best practices with staff and students on campus. Ability to purposefully identify leadership capacity development opportunities and to also attract funding that develops leadership scholars and students in the University.		
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ANNEXURE 10: Criteria for Academic Appointment to Research Professor Level

Qualification & Experience	Research & Innovation Weight: 80 %	University Leadership and Administration Weight: 10 %	Academic Citizenship (including community engagement) Weight: 10 %
A PhD in the relevant discipline. Holds the rank of a full professor 10 years' working experience in either, research or industry in the relevant field or discipline. At least five of the years must include postgraduate supervision or developing junior staff in research. Consistently or clearly exceeded performance expectations in research and innovation at full professor level in the last three years. Where applicable	Demonstrated excellent performance in research and Scholarship, exceeding the research output requirements of a full professor as defined by UKZN Research Policy, in the preceding five years. Produces impactful research such as a monographs, journal articles, book chapters and conference presentations or creative outputs of quality on regular basis as reflected in publication in high impact journals (Q1 & Q2), h-index in Scimago Scopus that is consistent or exceeds level for full professor benchmarked in the field and discipline nationally and internationally. An excellent track record of research and publications averaging a career total of 41-50 in DHET/SAPSE	Serves on University committees such as RHD committee, CAAB, Senate, Council, University Task Force and more. Chairs committees and participates in College decision-making and governance including contribution to University research policy formulation. Takes the lead in School postgraduate programme and curriculum development, evaluation, and revision including participating in strategic planning for the Discipline, School and College. Acts as a project leader, supervising the work of others, for example in research teams and projects. Represents the Discipline, School or College at research meetings outside the University.	Provides leadership nationally or internationally in own discipline through consultation, policy development or review. Involved in research projects that enable knowledge transfer and human capital development nationally and internationally or government research related advisory bodies or agencies. Evidence of international collaboration through joint publication/s. Sustained commitment to, and development of, partnerships with external organisations involved in widening access and other forms of outreach. Involvement in organising academic conferences, colloquia, exhibitions, productions and workshops

especially in professional disciplines, registration with the appropriate professional body is a minimum requirement.	accredited journals/books/book chapters. Candidates creative and performing arts, clinical (including nursing and public health; laboratory medicine and medical sciences), professional disciplines in applied human sciences, accounting/finance, architecture, law, engineering fields and Scarce skills disciplines as outlined in the prevailing DHET Scarce Skills Gazette Notice will have achieved a minimum career total of 35-40 in DHET/SAPSE accredited journals/books/book chapters. Demonstrated evidence as an independent scholar. Evidence of developing and maintaining an active research programme that is reflected in regular publications in peer reviewed DHET/DHET accredited scientific journals/book chapters/ books and presentations of research data at national and international scientific forums. Evidence of track record of sustained research and publications since the last appointment or promotion to full professor. NRF/equivalent national or international rating from research council that reflects excellence at the level of full professor nationally and internationally. Provides intellectual leadership within the discipline/School, which may include, but is not limited to: stimulating debate and	that attract recognised intellectual leaders in one's field. Engaged scholar who has driven off-campus activities, for example in Parliament, government agencies, or civil society. Participation and role in academic community including review of manuscripts and adding value to academic societies. Evidence of active service as an office-bearer in, and active membership of, a professional society, service as an editor of professional and research journals, including electronic journals. Active service as a reviewer as a member of an editorial board of professional and research journals. Active service as editor of a book series or collections of articles/chapters, including published conference proceedings. <u>OR</u> Evidence of active service on national committees and agencies (for example, the NRF/equivalent scientific research councils) concerned with tertiary education and research. Invitations to give public lectures or to participate in public education. Initiating and facilitating the signing of MOUs with external institutions nationally and internationally. Membership to a national technical committee,
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	discussion that leads to new intellectual and/or creative productivity. Contributes to the creation and maintenance of a research culture in the discipline where based. Encourages critical discourse and Scholarship at the University through symposiums and workshops. Provides research leadership by establishing and developing research groups. Evidence of sustained record of initiating international research collaboration evidenced through signed MOUs. A sustained track record of attracting external grants as a principal investigator from external sources into UKZN comparable to national and international standards for that level in the last five years. Actively involved in establishing an enabling research and innovation environment, through activities such as reviewing of research applications and proposals, policies and procedure, and research outputs. A track record of successful research supervision evidenced by sustained successful graduation of Master's and PhD students as per senate norms for full professor for the last five years. A sustained level of intellectual leadership within School/College/University and mentorship of junior staff that		commission or taskforce to promote research and Scholarship. Serving on national or international expert research advisory panels such as NRF/equivalent scientific research councils, WHO, World Bank, and others.
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	has led to the enhancement of the student experience at subject, Discipline, School, College or institutional level. A leader in collaborative research projects and partnerships with disciplines internal and external to the University of KwaZulu-Natal. Evidence of contributions made to research seminars and conferences at national and international levels.		
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ANNEXURE 11: Assessor Appointment Letter

Dear Prof

The Dean and Head: School of.....is pleased to nominate you to assist the University of KwaZulu-Natal, in South Africa in evaluating the quality, impact and standing of the research and teaching of Dr /Prof..... The applicant works in the field/s of..... The candidate has applied for appointment/promotion to the level of Eminent professors in the School recommended you as a suitable peer whose research specialisations match those of the applicant.

The UKZN Academic Appointment and Promotion Policy aims to achieve several goals. These include recognising excellent performance of our academic staff, recruiting top quality academic staff, facilitating the transformation of our academic staff demographics, ensuring that the academic work of the institution has a positive and significant impact on our society and acknowledging the value of Scholarship in terms of professional practice. Scholarship has many different components, and the evaluation of achievement should be a holistic one within the context of weights provided in each of the assessment areas (Teaching & Learning; Research and Innovation; Leadership and University Administration; and Academic Citizenship (including community engagement).

You will find the necessary documentation and assessor /referee response template on our online system by clicking on the following hyperlink: <https://ukzn.recruitment.ac.za>. Alternatively, these documents are attached to this email for you.

You will be required to submit a report within four weeks from the date of this email.

Your report should include the following:

1. Appraisal of the quality and impact of the candidates teaching and learning,
2. Quality and impact of candidate's research and innovation on the discipline and/or society,
3. The standing of the applicant in leadership and university administration, and
4. The standing of the applicant in academic citizenship

Your report will provide an estimation of the applicant's overall standing in the four areas of assessment benchmarked against peers in the field. The assessment instrument to evaluate the applicant is hereby attached.

Kind regards

Prof

ANNEXURE 12: Assessor Report Template (Reference should also be made to requirements for appointment and promotion to a particular academic level in Annexures 2-10 (Appendix IV).

Name of Assessor:	
Name of Applicant:	
Discipline:	
School:	
College:	

Teaching and Learning (the assessment is inclusive of the mini teaching portfolio of evidence <i>Please evaluate the applicant on the following:</i>	Exceptional (score of 5) Performance far exceeds expectations and accomplishments are exemplary. Exceptionally high quality of work in all areas. Has made a unique/ innovative contribution.	Exceeds expectation (score of 4) Achievements are not outstanding but academic exceeds performance expectations and the quality of work overall is excellent	Meets expectation (score of 3) Performance is on average more than what is expected of and academic. meets expectations and the quality of work overall is very good	Does not meet expectation (score of 2) Academic performance has not met expectations in one or more areas.	Unsatisfactory/ (score of 1) Performance is below expectations. Significant improvement is needed in most areas.
Contribution of the applicant in improving learning experiences from the teaching statement provided.					
Clarity and articulation of the philosophy of teaching / and learning that shows understanding of how students learn and trends in contemporary thinking related to teaching and learning in the discipline.					
Standing of the applicant from the perspective of evidence provided on innovative teaching /learning practice methodologies/pedagogy including evidence of the use of ICT and other applications for promoting independent learning for students.					
Standing of the applicant in engaging students from broad range of backgrounds and learning (dis)abilities through well designed and paced teaching which promotes understanding.					
Overall estimation of applicant's current standing in teaching and learning.					

Research & Innovation <i>Please evaluate the applicant on the following:</i>	Exceptional (score of 5) Performance far exceeds expectations and accomplishments are exemplary. Exceptionally high quality of work in all areas. Has made a unique/ innovative contribution.	Exceeds expectation (score of 4) Achievements are not outstanding but academic exceeds performance expectations and the quality of work overall is excellent	Meets expectation (score of 3) Performance is on average more than what is expected of and academic meets expectations and the quality of work overall is very good	Does not meet expectation (score of 2) Academic performance has not met expectations in one or more areas.	Unsatisfactory/ (score of 1) Performance is below expectations. Significant improvement is needed in most areas.
Quality and trajectory of the research output as reflected in the journals in which the candidate has published.					
Research in the field benchmarked against peers looking at h-index (citations, and journal quartiles where publications appear (whichever is applicable).					
Standing of the candidate with regard to sustained and successful research grants from external sources into UKZN (especially for full professor, R/Scholar, T/Scholar, L/Scholar and R/professor. For AP, sustained graduation of PhD students above senate norms over the last five years shall be considered in lieu of grants. The incumbent shall demonstrate evidence of initiating international research collaboration.					
Standing of the candidate with reference to active and sustained contributions made to research seminars and conferences.					
Extent of PG (Masters & PhD) successful supervision for those aspiring for the professoriate positions and sustained graduation of honours students for senior lecturer positions)					
Overall estimation of applicant's current standing as a researcher.					

Leadership and Administration <i>Please evaluate the applicant on the following:</i>	Exceptional (score of 5) Performance far exceeds expectations and accomplishments are exemplary. Exceptionally high quality of work in all areas. Has made a unique/ innovative contribution	Exceeds expectation (score of 4) Achievements are not outstanding but academic exceeds performance expectations and the quality of work overall is excellent	Meets expectation (score of 3) Performance is on average more than what is expected of and academic meets expectations and the quality of work overall is very good	Does not meet expectation (score of 2) Academic performance has not met expectations in one or most areas.	Unsatisfactory/ (score of 1) Performance is below expectations. Significant improvement is needed in most areas.
Overall standing of the applicant's contribution to academic leadership including management and administration of the Discipline, School, College and serving on School or University committees.					
Academic Citizenship (including community engagement) <i>Please evaluate the applicant on the following:</i>	Exceptional (score of 5) Performance far exceeds expectations and accomplishments exemplary. Exceptionally high quality of work in all areas of responsibility. Made a unique/ innovative contribution	Exceeds expectation (score of 4) Achievements are not outstanding but academic exceeds performance expectations and the quality of work overall is excellent	Meets expectation (score of 3) Performance is on average more than what is expected and academic meets expectations and the quality of work overall is very good	Does not meet expectation (score of 2) Academic performance has not met expectations in one or most areas.	Unsatisfactory/ (score of 1) Performance is below expectations. Significant improvement is needed in most areas.
Standing in providing consultation services to communities, business, industry that enable knowledge transfer and promote research projects.					
Contribution in providing active service as an office-bearer in, and active membership of, a professional society or editor of professional and research journals or active service on national committees and agencies.					
Contribution to community human capital development activities, which builds capacity of people outside of the University and impacts broader communities and society that the University serves.					
Standing in academic community activities such as invitations to deliver key-note					

speeches, review papers or active participation in academic societies or invited assessor for major grant awarding bodies.					
Contribution of the applicant in initiating and signing MOUs with external institutions nationally and internationally.					
Overall estimation of applicant's current standing in academic citizenship.					

Please provide recommendations for future development of the applicant

Overall Conclusion:

Signature:	Date:

ANNEXURE 13: Mini Teaching Portfolio of Evidence Template for the Applicant

(Not to exceed 15 pages –single spaced or 7500 words in length, font 12 Cabri). Reference should also be made to requirements for appointment and promotion to a particular academic level under Teaching and Learning in Annexures 2-10 (Appendix IV).

Name of Applicant:	
Applicant staff number (If UKZN academic) :	
Rank being applied to:	
Date of last promotion:	
Current academic year:	

Exceptional (score of 5)	Exceeds expectation (score of 4)	Meets expectation (score of 3)	Does not meet expectation (score of 2)	Unsatisfactory (score of 1)
Academic whose accomplishment in T/L are exemplary, commitment to enhancing students learning, and advancing pedagogy leading to outcomes with a major impact on T/L practice.	A candidate demonstrates a high level of commitment and performance exceeding the expectations.	Performance is on average more than what is expected, academic. meets expectations and the quality of work overall is very good	Performance has not met expectations in most areas.	Performance below expectations. Significant improvement is needed in most/all areas.

	Areas of Assessment	Explanation by the Candidate	Score
1.	Philosophy of Teaching: What is your understanding of Teaching and Learning and its influence on promoting academic excellence? What is your philosophy of teaching and approaches to teaching? What are		

	your teaching methods used, methods of assessment, and how these have changed over time, considering the inputs of peers or students through evaluations? You can include additional information on Scholarship in Teaching and Learning curriculum revision, formally sharing practice with others, and a record of awards or recognition received for Teaching and Learning. Refer to the document describing five areas of evaluation of Teaching and Learning.		
2.	Reflection on Students: Who are your students? How does your teaching ensure that all students/clients feel included? How do you actively engage students in their learning? How do you get to know what your students bring with them to your classroom? How do you teach in ways that encourage students to participate in knowledge production processes? How do you address problems of students' under-preparedness in your curriculum? How does your curriculum structure provide sufficient support for students? How do you develop your students' capacities and prepare them to be the critical citizens of the future? How does your curriculum and teaching strategies enrich students with exceptional abilities?		
3.	Reflection on context: Where does your teaching take place? What macro, meso and micro issues do you take into account in your teaching? How do your curriculum decisions and teaching approaches reflect the geographical, historical and social context of your classroom? In what ways does your context enable or constrain how you teach and assess? How do you integrate pertinent local and topical issues into your curriculum? What are the institutional, student body, professional, national and international contextual issues that affect your teaching/ learning context? How does your curriculum address concerns that affect the planet? What changes have you made to the		

	curriculum to ensure it addresses your context? How does your teaching promote a consciousness/awareness of the global context?		
4.	Reflection on Knowledge: What is your discipline / profession and what are its key features? What aspects of the course or programme do your students battle with and how have you addressed this through your teaching approach? How do your teaching and assessment approaches ensure that the practices of the discipline and/or profession become accessible to all? In what ways does your teaching allow students to have access to the discipline? What do you do to make sure your students can contribute to knowledge production and not just to knowledge consumption? How do you ensure that you maintain disciplinary depth? How does being an active scholar affect your teaching? How do your contributions to your discipline improve your teaching?		
5.	Reflection on Growth What innovative approaches enhance your teaching? How do you use technology to improve the student experience and enable better understanding of core concepts? How do you use alternative teaching and learning techniques to improve student engagement? How do you critically evaluate your own teaching? How do you actively solicit peer evaluation and critique to enhance your teaching? How do you think you have developed as an excellent teacher over time? How have you contributed to curriculum development? How does your approach to assessment enhance learning? How has your Scholarship contributed to institutional development and beyond?		

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Please provide recommendations for future development of the applicant

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Overall Conclusion:

Signature:	Date:

ANNEXURE 13b: The Clinical Portfolio

Name of Applicant:	
Applicant staff number (If UKZN academic) :	
Rank being applied to:	
Date of last promotion:	
Current academic year:	

	Domains of Activities for Clinical Academics	Level of Achievement		Comment
		Excellence/Exceptional (Score = 5): A candidate demonstrates clear evidence of sustained performance above and beyond expected performance leading to outcomes with a major impact on health and health practice.	Strength/Exceed expectation (Score =4): A candidate demonstrates a high level of commitment and performance exceeding the expectations	
1.	Competent, professional practice <i>The employee operates as a competent practitioner providing a high standard of care.</i>			
2.	Competent, professional management <i>The employee manages a clinical service competently and professionally</i>			
3.	Effective outreach <i>The employee participates effectively in an effective outreach programme.</i>			
4.	Improvement of services <i>The employee is</i>			

	<i>effective in improving services</i>			
5.	Continuing professional development <i>The employee is effective in maintaining and improving their professional skills and those of others.</i>			
5.	Contribution to Health Systems and policy <i>The employee contributes to the development of health systems and health policy</i>			

ANNEXURE 13c: Mini Community Engagement Portfolio of Evidence Template for the Applicant

(Not to exceed 15 pages –single spaced or 7500 words in length, font 12 Calibri.) Supporting evidence should be attached as appendices or links to the relevant documents/evidence. Reference should also be made to requirements of academic citizenship Annexure 4 in appendix IV

Name of Applicant:	
Applicant staff number (If UKZN academic) :	
Rank being applied to:	
Date of last promotion:	
Current academic year:	

Exceptional (score of 5):	Exceeds expectation (score of 4)	Meets expectation (score of 3)	Does not meet expectation (score of 2)	Unsatisfactory/ (score of 1)
Academic whose accomplishment in Academic Citizenship including community engagement are exemplary, commitment to enhancing students learning, through outreach initiatives leading to outcomes with a major impact on society.	A candidate demonstrates a high level of commitment and performance exceeding the expectations.	Performance is on average more than what is expected, academic. meets expectations and the quality of work overall is very good	Performance has not met expectations in most areas.	Performance below expectations. Significant improvement is needed in most/all areas.

	Areas of Assessment	Explanation by the Candidate	Score
1.	Community Engagement Philosophy: What is your understanding of community engagement and its' influence on		

	promoting academic excellence? What are your conceptions and approaches to community engagement?		
2.	Reflection on Community Stakeholders: Who are your key community engagement stakeholders? What are the processes you follow with community stakeholders to ensure that they are included in the community engagement activity? How do you get to know what your stakeholders' needs are? How do you engage community stakeholders in ways that encourage them to participate in the co-creation of knowledge? How do you assist community stakeholders to develop governance frameworks and sustainability strategies for co-created projects?		
3.	Reflection on community engagement activities/outputs: What are the opportunities you have created and activities you have engaged in with your various community partners? What are the measures and evidence for these activities?		
4.	Reflection on community engaged outcomes and impacts. What have been the outcomes and impacts for: community organisations, government, business/industry and students who have been involved in your community engagement activities? What are the indicators/measures for these outcomes and impacts e.g. end-user evaluations/assessment/feedback or changes and effects because of the engagement? How are the impacts aligned with the State's 2030 National Development Plans to reduce poverty and eliminate inequality?		
5.	Reflection on community engagement and Teaching and Learning: How are your community engagement activities integrated into your teaching? How has community engagement		

	helped you contextualise your teaching and students' learning? How is community engagement incorporated into students' learning/activities? How is community engagement included in your curriculum? What skills, knowledge and values have your students acquired from community engagement activities they have participated in? How students are assessed on their community engagement activities? How are community partners' learning needs incorporated into your teaching? How is your students' participation in the community impacting the community?		
	Reflection on Community Engagement and research: What applied and/or basic research and scholarship have you engaged with community stakeholders that have contributed to socio-economic, technological and policy development and to solving problems of communities at local, provincial and national levels? Who participated in the research? Which student (honours, masters and PhD) research projects are based on community partners' needs? How was the research conducted with community partners? How was it funded? How did the various stakeholders benefit from the research? What was the impact of the research for participating stakeholders? How were the findings of the research communicated e.g. where and in what form were they published/disseminated? How is the research impacting the standing and marketing of the University?		

Please provide recommendations for future development of the applicant

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Overall Conclusion:

Signature:	Date:

***ANNEXURE 14: Line Manager Report Template**

Name of Applicant:	
Applicant staff number (if UKZN academic):	
Rank being applied to:	
Discipline:	
School:	
College:	
Year of application:	

Exceptional (score of 5)	Exceeds expectation (score of 4)	Meets expectation (score of 3)	Does not meet expectation (score of 2)	Unsatisfactory/ (score of 1)
Academic whose accomplishment in T/L are exemplary, commitment to enhancing students learning, and advancing pedagogy leading to outcomes with a major impact on T/L practice.	A candidate demonstrates a high level of commitment and performance exceeding the expectations.	Performance is on average more than what is expected, academic. meets expectations and the quality of work overall is very good	Performance has not met expectations in most areas.	Performance below expectations. Significant improvement is needed in most/all areas.

Teaching and Learning	Contribution	Score
Contribution in improving learning or practice experiences.		
Contribution to innovative teaching practice methodologies and pedagogy.		
Overall standing in teaching and learning.		
Research & Innovation		
Trajectory of the research output.		
Successful research grants from external sources into UKZN and initiating international research collaboration.		

Active and sustained contributions to research seminars and conferences.		
Successful graduations (Masters & PhD) for professoriate and honours students for senior lecturers		
Overall standing of the applicant as a researcher.		
Leadership and University Administration		
Contribution to academic leadership and administration of the Discipline, School, College and serving on School or university committees.		
Academic Citizenship (including community engagement)		
Contribution to providing consultation services to communities, business, industry that enable knowledge transfer and promote research projects.		
Active service of the applicant as an office-bearer in, and active membership of, a professional society.		
Contribution of applicant to community human capital development activities, which impacts broader communities and society that the University serves.		
Applicant role in academic community activities such as invitations to deliver key-note speeches, review papers or invited as assessor for major grant awarding bodies.		
Contribution of the applicant in initiating and signing MOUs with external institutions nationally and internationally.		
Overall estimation of applicant's current standing in academic citizenship.		

* The Line Manager will rate the candidate on a scale of 1-5 in all the areas of evaluation in the same manner as the assessor/referee. The assessment report of the line manager will be considered by the selection committee alongside those of the assessors

ANNEXURE 15: Talent Mapping of the Candidate by Line Manager				
	Performance Score	Talent Mapping (P-P Matrix) – Readiness for next level	Scarce/ Critical Talent (Y/N)	Talent Category (Critical = Green Quadrant; Key Stabiliser = Gold Quadrant; Potential Contributor – Red Quadrant)
Year 1				
Year 2				
Year 3				
Recommendations				

Line Manager:	Signature::
Date::	

ANNEXURE 16: Feedback to Candidates on the Outcome of the Selection Process (Template)

Name of Applicant:	
Applicant staff number (if UKZN academic):	
Rank being applied to:	
Discipline:	
School:	
College:	
Date of the selection committee meeting:	
Decision of selection committee:	a. Promote () b. Not to promote ()

	Consolidated comments of assessors, selection committee and CTPAC
Teaching and Learning <i>Candidate contribution in the following areas</i>	
Improving learning experiences.	
Clarity in understanding how students learn or practice and trends in contemporary thinking related to teaching and learning in the discipline.	
Innovative teaching methodologies and pedagogy.	

Engaging students from broad range of backgrounds and learning (dis)abilities.	
Overall estimation of applicant's standing in teaching and learning.	
Research & Innovation <i>Candidate contribution in the following areas</i>	
	Consolidated comments of assessors and selection committee
Quality and trajectory of the research output.	
Applicant research standing in the field benchmarked against peers looking at h-index, citations, and journal quartiles where publications appear.	
Standing with regard to successful research grants from external sources into UKZN and initiating international research collaboration.	
Standing with sustained contributions to research seminars and conferences.	
Successful graduation of PG (Masters & PhD) for the professoriate and honours for senior lecturers.	
Overall estimation of applicant's standing as a researcher.	
Leadership and University Administration <i>Candidate contribution in the following areas:</i>	
	Consolidated comments of assessors and selection committee
Standing of the applicant's contribution to academic leadership and university administration of the Discipline, School, College and serving on School or university committees	
Academic Citizenship (including community engagement)	
Applicant standing in providing consultation services to communities, business, industry that enable knowledge transfer and promote research projects.	

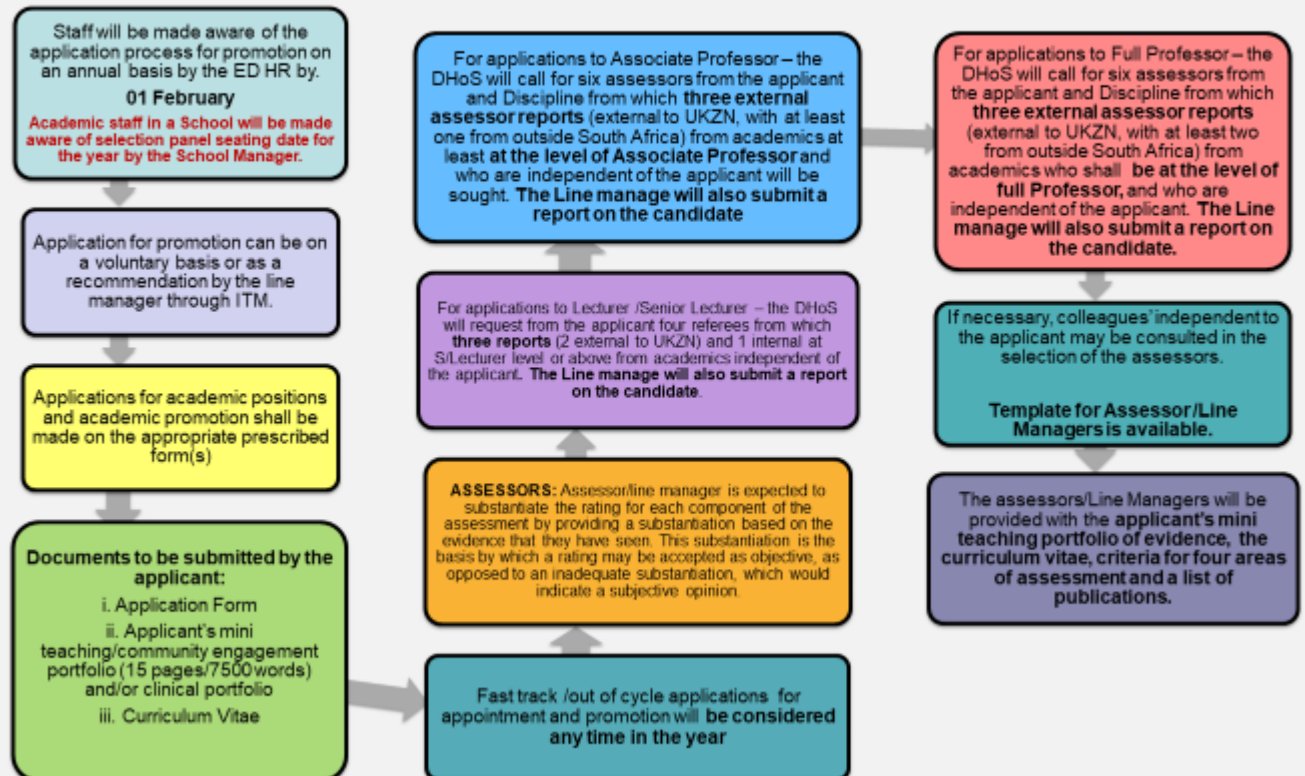
Applicant active service as an office-bearer in, and membership of, a professional society or editor of professional and research journals or active service on national committees and agencies.	
Contribution to community human capital development activities outside of the University and impacts broader communities.	
Applicant's role in academic community activities such as invitations to deliver key-note speeches, review papers or active participation in academic societies or invited assessor for major grant awarding bodies.	
Contribution of the applicant in initiating and signing MOUs with external institutions nationally and internationally.	
Overall estimation of applicant's current standing in academic citizenship.	

Recommendations of assessors/selection committee for future development of the applicant

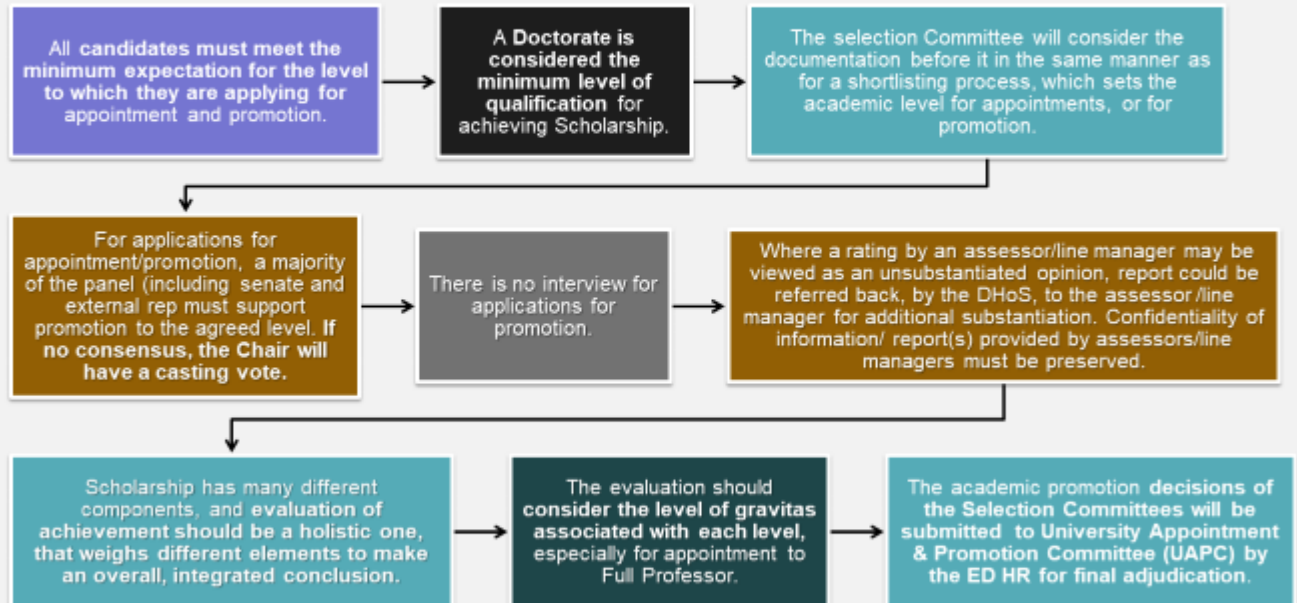
Overall Conclusion:

Dean & Head of School (on behalf of selection committee)	Signature:
Date:	

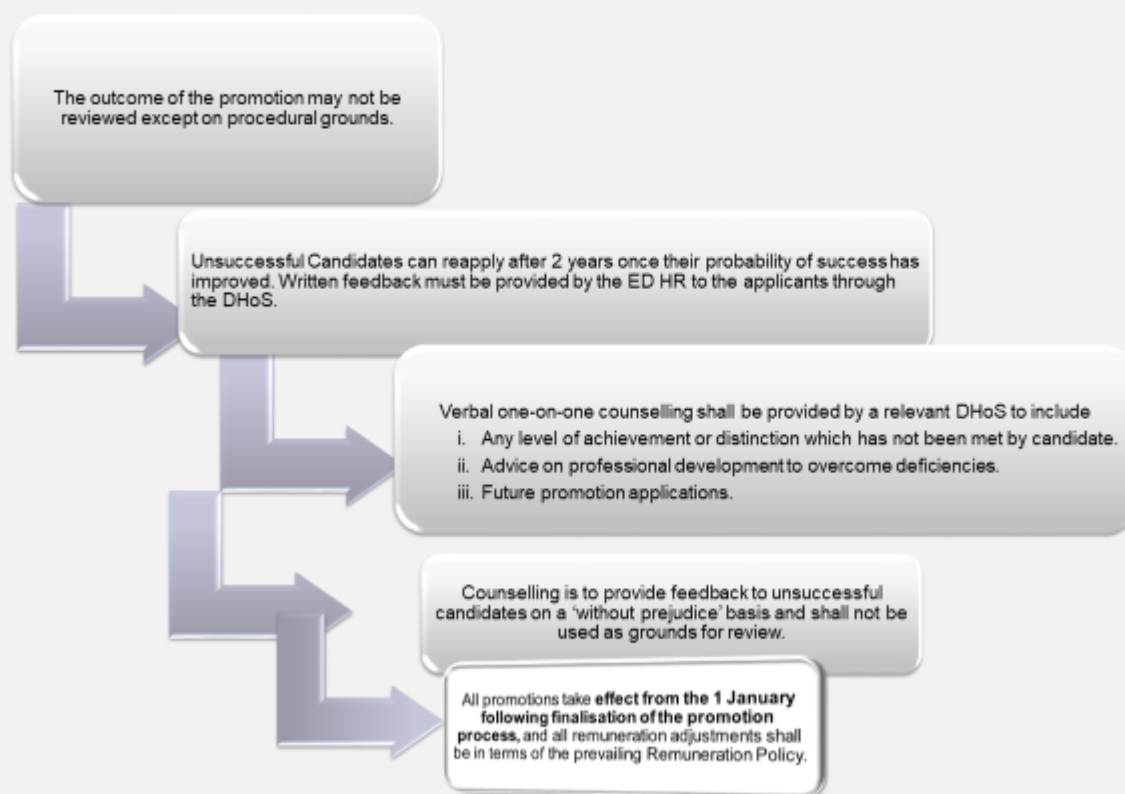
ANNEXURE 17: Application Process



ANNEXURE 18: Evaluation of Applications



ANNEXURE 19: Outcome, Counselling and Feedback



ANNEXURE 20: Activities and Role-players in Policy Implementation

- 1. Workshops with DHoS - ED HR/HRD/College HR Manager/Policy review panel**
- 2. Workshop for College HR managers and consultants –Policy review panel**
- 3. Workshops with academics - HRD/College HR Manager/Policy review panel**
- 4. University roadshows – ED HR/HRD/College HR Manager/Policy review panel**
- 5. Dates for selection committee seating (1 Aug – 30 Sep) –Deans & HoS**
- 6. List of Senate/Union reps send to DHoS – by ED HR (April)**
- 7. Appointment of assessors – DHoS/School boards/Candidates**
- 8. Job advert revisions – HRD/ DHoS**
- 9. Job profile revisions – HRD/DHoS**
- 10.Call for promotion publication – ED HR**
- 11. Arranging logistics for workshops/road show – HRD**
- 12. Harmonising appointment/promotion policy with other policies - HRD**

Annexure 21 *Academic Promotion Schedule

Activity	Date(s)
1. ED HR a call for applications	01 February
2. Close for receipt of applications (including relevant portfolios of evidence)	31 March
3. SOM sends applications (including relevant portfolios of evidence) to Dean / HoS	01 - 15 April
4. DHoS constitute Selection Committee	16 -30 April
5. Dean / HoS identify Assessors /referees	16 -30 April
6. Deans / HoS sends Assessors applicant dossiers) and also requests referee reports	01 - 15 May
7. Assessors report back to Deans/HoS	15 June – 15 July
8. Dean/HoS sends Teaching, Clinical, and Community engagement portfolios to relevant assessment committees	01-15 May
9. Portfolio assessment committees report back outcomes to Dean/HoS	15 June – 15 July
10. Selection committees are seated	01 August – 30 Sep
11. College HR transmits outcome to UAPC through ED HR	10 August – 10 October
12. UAPC Seating	01 – 15 November
13. ** ED HR communicates outcomes to candidates	25-30 November
14. Appeals lodging	01 - 05 December
15. Appeals committee seating and determination	15-24 December
16. Effective Date of Promotions	01 January

* Out of cycle/fast track appointments and promotions are exempt from this schedule as they shall occur any time throughout the year.

** ED HR will ensure the timelines are strictly adhered to.