

## AUTHORITY TO APPOINT ACADEMIC STAFF

This document sets who is authorised to appoint academic staff.

The situation is different for candidates from outside the University (external candidates) than for existing academic staff (internal candidates).

### Appointment of external candidates

The following table sets out the current arrangements to authorise appointments of candidates from outside the University or for candidates from within the University where there is no provision for promotion or progression (see below).

This list does not include any temporary local level arrangements that may be put in place from time to time.

<ul style="list-style-type: none"> <li>• Professors</li> <li>• Research Professors</li> <li>• Clinical Professors</li> </ul>	Vice-Chancellor, assisted by an Advisory Committee, on the recommendation of the Head of Department, the Dean, Pro-Vice-Chancellor
<ul style="list-style-type: none"> <li>• Associate Professors</li> <li>• Research Associate Professors</li> <li>• Clinical Associate Professors</li> </ul>	Staffing Advisory Committee, on the recommendation of the Head of Department, the Dean, and Pro-Vice-Chancellor
<ul style="list-style-type: none"> <li>• Associate Deans</li> </ul>	Vice-Chancellor, on the recommendation of the Head of Department, the Dean, Pro-Vice-Chancellor
<ul style="list-style-type: none"> <li>• Senior Lecturer Beyond the Bar</li> <li>• Senior Research Fellow Beyond the Bar</li> </ul>	Deputy Vice-Chancellor (Academic), on the recommendation of the Head of Department, the Dean and the Pro-Vice-Chancellor
<p><b>Health Sciences:</b></p> <ul style="list-style-type: none"> <li>• Senior Lecturers (below the bar)</li> <li>• Senior Research Fellows (below the bar)</li> <li>• Clinical Senior Lecturers (0.3 FTE or more) (below the bar)</li> </ul>	Dean, on the recommendation of the Head of Department
<p><b>Other Divisions:</b></p> <ul style="list-style-type: none"> <li>• Senior Lecturers (below the bar)</li> <li>• Senior Research Fellows (below the bar)</li> </ul>	Pro-Vice-Chancellor, on the recommendation of the Head of Department
<p><b>Health Sciences:</b> Clinical Senior Lecturers up to but not including 0.3 FTE</p>	Dean, on the recommendation of the Head of Department (Schools issues offers rather than HR)
<p><b>Health Sciences:</b> All other academic appointments</p>	Dean, on the recommendation of the Head of Department
<p><b>Other Divisions:</b> All other academic appointments</p>	Pro-Vice-Chancellor, on the recommendation of the Head of Department (or Dean)

### Appointment of internal candidates

It is University policy that existing academic staff who apply for a vacancy within the University will be appointed at the same step on the salary scale as their existing position. In general, staff should be encouraged to use the annual promotion exercise as the normal promotion pathway rather than applying for vacancies as a means of seeking progression or promotion.

This requirement applies to situations where there is a clear path for progression or promotion. In general, for example, a Lecturer should be encouraged to apply for promotion to Senior Lecturer rather than apply for a vacancy for a Senior Lecturer.

If the recommendation of an Appointment Committee is that an offer is made to an existing staff member that amounts to a promotion, then the staff member must be given an opportunity to address the promotion criteria of the level of appointment sought. Further information on the documentation is available:

- in the policy set out below on *Internal Applications to advertised Academic vacancies at a higher level (excepting Established Chairs)*;
- at <http://www.otago.ac.nz/humanresources/staffdevelopment/promotionsprogressions/index.html#Promotion> or
- by phoning the Human Resources Division on 8266.

The following table sets out the current arrangements to authorise appointments of candidates from within the University **where the appointment amounts to a promotion or progression.**

<ul style="list-style-type: none"> <li>• Professors</li> <li>• Research Professors</li> <li>• Clinical Professors</li> </ul>	Vice-Chancellor, assisted by an Advisory Committee on the recommendation of the Head of Department, the Dean, Pro-Vice-Chancellor
<ul style="list-style-type: none"> <li>• Associate Professors</li> <li>• Research Associate Professors</li> <li>• Clinical Associate Professors</li> </ul>	Staffing Advisory Committee, on the recommendation of the Head of Department, the Dean, and Pro-Vice-Chancellor
<ul style="list-style-type: none"> <li>• Senior Lecturer beyond the Bar</li> <li>• Senior Research Fellow beyond the Bar</li> </ul>	Staffing Advisory Committee, on the recommendation of the Head of Department, the Dean, and Pro-Vice-Chancellor
<ul style="list-style-type: none"> <li>• Associate Deans</li> </ul>	Vice-Chancellor, on the recommendation of the Head of Department, the Dean, Pro-Vice-Chancellor
<p><b>Health Sciences:</b></p> <ul style="list-style-type: none"> <li>• Senior Lecturers (below the bar)</li> <li>• Senior Research Fellows (below the bar)</li> <li>• Clinical Senior Lecturers (0.3 FTE or more) (below the bar)</li> </ul>	Pro-Vice-Chancellor, on the recommendation of the Dean and Head of Department
<p><b>Other Divisions:</b></p> <ul style="list-style-type: none"> <li>• Senior Lecturers (below the bar)</li> <li>• Senior Research Fellows (below the bar)</li> </ul>	Pro-Vice-Chancellor, on the recommendation of the Head of Department

<b>Health Sciences:</b> Clinical Senior Lecturers up to but not including 0.3 FTE	Pro-Vice-Chancellor, on the recommendation of the Dean and Head of Department
<b>Health Sciences:</b> All other academic appointments	Pro-Vice-Chancellor, on the recommendation of the Dean and Head of Department
<b>Other Divisions:</b> All other academic appointments	Pro-Vice-Chancellor, on the recommendation of the Head of Department (or Dean)

In cases where there is no provision for promotion or progression, the delegation to appoint will be the same as for external candidates (see above). For example, a Research Fellow who wishes to transfer to a position such as Lecturer or Senior Lecturer would need to apply for a vacancy because there is no provision for promotion from Research Fellow to either Lecturer or Senior Lecturer. In such cases, the appointment level would be determined in the normal way and would not necessarily be linked to the applicant's current salary step.

**Policy:**  
**Internal Applications to advertised Academic vacancies  
at a higher level (excepting Established Chairs)**

Existing academic staff may apply for advertised academic vacancies at a higher level. Candidates will be required to meet the documentation standards of the Academic Staff Promotion Policy for that level. It is considered that staff should be encouraged to use the annual promotion exercise as the normal promotion pathway.

**Approval for Professors**

The process for making an appointment to a Professorial position is essentially the same as that for making any other academic appointment except that the authority for appointments rests with the Vice-Chancellor and has not been delegated.

**Approval for Associate Professors and Senior Lectures beyond the Bar:**

Recommendation through Appointments Committee and Pro-Vice-Chancellor to Staffing Advisory Committee who are delegated authority to approve.

**Approval for lesser promotions (ie below Associate Professor and Senior Lecturer beyond the Bar)**

Recommendation through Appointments Committee to the Pro-Vice-Chancellor who is delegated authority to approve.

**Process:**

1. Positions at the level of Associate Professor and Professor require the approval of the Vice-Chancellor before being advertised.
2. The vacancy will be required to be advertised in normal manner.
3. If the recommendation of appointment committee is that an offer is made, then the staff member must be given an opportunity to address the promotion criteria of the level of appointment sought. Documentation should comprise of:
  - i. Staff member's personal statement, outlining the grounds on which appointment at the higher level is sought
  - ii. Otago Teaching Profile (appendix 3 of the Academic Staff Promotions Policy)
  - iii. Current CV in standard format (appendix 4 of the Academic Staff Promotions Policy)
  - iv. HOD validation statement (appendix 5 of the Academic Staff Promotions Policy)

Candidates must demonstrate that they meet the key criteria for appointment to the higher level sought.

All the above documentation and processes should be fully complied with. For example, the absence of required documentation such as student evaluations of teaching invalidates the application. Further documentation from that supplied by the candidate is **not** to be sought or accepted by the Pro-Vice-Chancellor or the Appointment Committee.

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*Associate Professor level applications only*

The staff member must provide a list of potential referees if you are applying for promotion to Clinical Associate Professor, Associate Professor, Research Associate Professor, Clinical Professor, Professor and Research Professor.

The staff member may seek promotion only on the understanding that:

- referee reports are to be supplied to the University in confidence;
- the referee reports will not be released to you;
- the identity of referees selected by the University will not be disclosed to you; and
- the University reserves the right to seek whatever information it sees fit.

The staff member must include the names and full contact details (mailing address, email and phone numbers) of at least five potential referees qualified to evaluate your research.

No more than one of the staff member's five nominated referees may be or have been a research collaborator, co-author or former research supervisor of the applicant in the past five years.

Normally, the list of referees:

- must include one referee from New Zealand;
- should include one further Australasian referee;
- must include at least three international referees (of which no more than two may be from the same University).

If the staff member cannot meet the above requirements, they must explain why.

As a general principle, staff members should not nominate as referees members of your own department.

No more than one referee chosen by the University will be based at the University of Otago. The referee must be of equivalent or higher standing than the promotion sought.

The University reserves the right to decline to use any nominated referee/s and in such circumstances the appointment committee will consult with the Pro-Vice-Chancellor. If this information is not provided at the time of application, the appointment committee will decide on an appropriate list. Where the nominated referees do not conform with the above, the candidate must state why.

Pro-Vice-Chancellors will be required to provide names and full contact details (including fax numbers and e-mail addresses where available), verify the suitability of and give reasons for nominating at least four referees for each candidate supported by the Appointment Committee for appointment to Associate Professor, Clinical Associate Professor, or Research Associate Professor. These will normally, but not always, be selected from the five nominations put forward by the candidate.

If the recommendation of the appointment committee is that an offer is made, then a case is to be put to Staffing Advisory Committee. Recommendations for approval of a staff member to an advertised vacancy at a higher level should include information the following:

- The Appointment Committee is to minute the assessment of each candidate in the areas of Teaching, Research and Service.
- The Pro-Vice-Chancellor is to provide a brief report on the case giving the reasons for the recommendation. Pro- Vice-Chancellors are to ensure that all supporting documentation is adequate to justify the recommendation. Further documentation from that supplied by the candidate is not to be sought or accepted by the Pro-Vice-Chancellor or the Appointment Committee.

Staffing Advisory Committee will assess the candidate against promotion criteria for the relevant higher level sought. For appointment to a higher level such as Associate Professor, Clinical Associate Professor, or Research Associate Professor the Committee will have the benefit of referee reports.

The decision of Staffing Advisory Committee will be final and there will be no right of appeal.

**Approved by Staffing Advisory Committee 3 August 2004**

**Amended by Staffing Advisory Committee 4 March 2008**

**Amended October 2013**