Academic Standards for Research Fellows, Senior Research Fellows, Lecturers, Senior Lecturers, Associate Professors, Professors, Professional Teaching Fellows, and Senior Tutors

The University of Auckland – HR Policy

Contents

Academic Standards for Research Fellows, Senior Research Fellows, Lecturers, Senior Lecturers, Associate Professors, Professors, Professional Teaching Fellows, and Senior Tutors

Note: Statements (other than headings, and text in blue) underlined are drawn *verbatim* from the Academic Collective Employment Agreement 2022-2024 and therefore may not be altered other than by agreement with the Tertiary Education Union.

Purpose and Process

This document outlines standards for academic grades as referred to in various HR policies covering academic staff including Appointments, Continuation, Promotions, and Academic Development and Performance Review policies.

The Academic Standards and the assessment of academic staff performance against the standards must:

- be consistent with the qualitative and quantitative norms that apply for their discipline in peer universities, and be applied using evaluative judgment of peers in the relevant academic discipline.
- reflect the diversity of academic roles, responsibilities and contributions within their academic unit and to the University.
- reflect the University's statutory obligations.
- address the University's values and its equity and Treaty of Waitangi obligations.
- Recognise the public good responsibilities of academics, relevant to their discipline.

Promotion of academic staff recognises, and rewards sustained performance. This document is intended to ensure that all staff members have an understanding of the standards they are expected to meet in order to plan and advance their careers. The **Academic Standards** and the underlying **General Principles and Considerations** guiding their application should inform the staff member's application, narratives, and evidence and explanation for sustained performance.

Through its promotions process, the University seeks to evaluate past performance and predict future contributions. The **Academic Standards** and the **General Principles and Considerations** provide clarity to staff and committees evaluating colleagues in terms of appointment,

continuation, promotion and academic development and performance review.

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

Peer observation is particularly important in assessing the quality and impact of teaching and research contributions by staff. In applying the criteria for appointment, continuation, promotion, or academic development and performance review purposes, the respective committees are required to give full and careful consideration to the expectations specified in the particular terms on which individual staff members are employed. These terms will be derived from the contracts of employment and job descriptions.

Academic Standards Overview

Standards are defined in general terms for Lecturer, Research Fellow, Professional Teaching Fellow 1, and Senior Tutor 1 but in more detail for the key career points at which significant promotion decisions are made: Senior Lecturer 1 and Senior Research Fellow 1, Senior Lecturer 6 and Senior Research Fellow 6, Associate Professor and Professor, Professional Teaching Fellow 2-4, and Senior Tutor 8.

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

- **Research, Creative Work & Innovation** includes Contributions to research and/or scholarship and/or artistic activity, creative work, innovation, or professional activity.

- **Teaching** includes Contributions to teaching (experience and achievement in teaching), learning and supervision.

- **Academic Citizenship & Service** includes Contributions to the University, the academic unit and Faculty in institutional planning, governance, leadership and operations, to Equal Employment Opportunities, to the University's obligations under the Treaty of Waitangi, and/or to the discipline, the profession and/or the community in the candidate's fields of expertise, as well as in broader public life and communities.

Leadership can be expressed and enacted in all three areas of contribution and activity. Key features of leadership, as used here, include the

understanding that all staff may play a leadership role within their working environments and that the University wishes to foster a culture of distributed leadership and recognise accomplishments in this area accordingly.

These three areas of contribution and activity structure the standards, which include further definition and explanation to guide the application and evaluation process.

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

General Principles and Considerations

Strategic Context

The University's Academic Standards are aligned to Taumata Teitei, The University of Auckland Strategic Vision 2030 and Plan 2025. Taumata Teitei aspirations related to each area of contribution and activity are outlined with the relevant standards below.

Appointment and continuation

To be **appointed to or continued in** an academic grade, the staff member must, on objective evidence, demonstrate achievement or ability of a kind appropriate to the grade to which they are seeking appointment or continuation. In the case of entry level appointments (e.g. Lecturer 1, Research Fellow 1, Professional Teaching Fellow 1), the applicant must demonstrate the potential to meet the standards specified.

Advancement between steps and movement within ranges

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

Promotion

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

Eligibility for promotion

Candidates whose case for promotion rests in part on teaching must have been employed and their performance evaluated for at least four teaching

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

"Career to date"

The Academic Standards are expressed as "career to date" standards and assessment must occur on a "career to date" basis at key promotion points in the academic career, when appointments are made, and when continuation confirmed. In assessing performance of senior staff against the standards, emphasis should be placed on recent achievements but not to the exclusion of earlier performance. For promotion, evidence will be required of effective engagement with teaching, research, supervision, and service activities at the University of Auckland, relative to the length of employment at this institution.

Quantity, quality, and impact

The Academic Standards are expressed in both qualitative and quantitative terms. Particular quantitative standards are to be seen as indicative thresholds, not as rigid barriers. They must be interpreted in a way that takes account of the academic quality and research impact of contributions.

The quantitative standards outlined here are a guide to the level of output expected, given appropriate quality considerations (alongside all **General Principles and Considerations**). Considerations of quality are fundamental to the assessment of any applicant's achievement. For example, publications in high impact journals or which have demonstrably impacted on the field (e.g. as judged by citations, impact on practice or policy) may receive greater weight. Committees of peers have a key role in assessing quality and impact.

The standards and the assessment of academic staff performance against the standards must <u>be consistent with the qualitative and quantitative norms that apply for their</u> <u>discipline in peer universities and be applied using evaluative judgment of peers in the relevant academic discipline</u>. They must be considered in the context of the relevant discipline. For example, in disciplines in which opportunities to win external funding are limited, or in which the need for such funding is minimal, an applicant's overall achievements will be assessed in light of these considerations. Nevertheless, those who are successful in gaining funding within such contexts can expect to have their accomplishments recognized.

Holistic

The Academic Standards and the assessment of academic staff performance against the standards must be considered holistically. Consideration of overall performance must occur within and across all areas of academic

contribution and activity rather than assessed as absolute standards within each individual area. These areas are interrelated and cannot be regarded as utterly separable dimensions of an applicant's work at the University. Therefore, staff performance in each area needs to be considered holistically and in the context of the applicant's job description, workload weightings, disciplinary norms, programme demands, available opportunities, career paths, and both internal and external formal and informal roles. This consideration and context can be addressed in the application and narratives.

Holistic evaluation means performance above expectations in one area may be considered to compensate for lesser performance in another, provided that performance in each area is considered to be satisfactory in both the extent and quality of the contribution and there is evidence of on-going progress and sustained achievements. Holistic evaluation of performance should be the basis for all assessments, not a second step to rethink the decision on an application.

Diversity of academic roles

The Academic Standards and assessment of staff performance against the standards must reflect the diversity of academic roles, responsibilities and contributions within their academic unit and to the University. The respective committees are required to give full and careful consideration to the expectations specified in the particular terms on which individual staff members are employed. These terms will be derived from the contracts of employment and job descriptions.

It should be noted that Research Fellows and Senior Research Fellows are employed to plan, supervise and conduct research but that staff in the grades of Research Fellow and Senior Research Fellow may be required to undertake teaching and supervision of graduate students within their own research specialism. While teaching may not be expected of all staff in these grades, it is referred to in the standards for those situations where teaching is provided for in the employment agreement of the staff member. As they progress through their careers Research Fellows and Senior Research Fellows are expected to develop independent research programmes and show evidence of leadership in research.

Professional Teaching Fellows (PTFs) are employed to conduct research-informed teaching in accordance with their share of the Department, School or Centre's teaching programme and engage in service to the department, faculty, University, discipline and/or community that is related to the employee's employment. The University expects that some PTFs engage in clinical settings as part of their contractual teaching responsibilities, and an appropriate interpretation of the teaching standards will apply and should be captured in the practice notes. Where PTFs are contracted to engage in clinical settings that do not involve teaching, the University expects clinical managers to provide a report.

Senior Tutors are employed to conduct research-informed teaching and

engage in service to the department, faculty, University, discipline and/or community. While Senior Tutors do not have research as part of their role, there are some cases in which that has been permitted. In such cases, contributions to research must also be considered in evaluating the performance of the Senior Tutor.

Disciplinary groupings

Because disciplinary practices in research and supervision vary widely across the University, the standards differentiate between the Natural Sciences, Social Sciences, and Humanities in expectations for the number of outputs and grants or contracts in Research, Creative Work, & Innovation, and the number of completed postgraduate supervisions in Teaching. Applicants for appointment, continuation, and promotion are required to specify which set of expectations logically apply to their research and supervision practice and explain why. In determining which disciplinary grouping a staff member should be assessed under, the relevant Dean will take into account the production of outputs, research funding, and supervision completions typical in the staff member's discipline, field, and/or pattern of work. For more explanation of disciplinary groupings, see Appendix 3.

Additional Considerations

The Academic Standards must not include individual performance in the PBRF, and applicants' merit relative to opportunity will be taken into account when considering their application as per the University's Achievement Relative to Opportunity Policy. Promotion Committees should note in their considerations that service and leadership work in the university setting is not equally distributed. There is considerable evidence that Māori and Pacific staff, Women and minority groups carry disproportionate and sometimes additional loads of service and leadership, both within the university and externally.

Standards for Research, Creative Work & Innovation

The University's Academic Standards are aligned to [Taumata Teitei | The University of Auckland Strategic Plan 2021-2030](#). With regard to Research, Creative Work & Innovation, the University seeks:

- To grow world-class research inspired by our place in Aotearoa and the Pacific.

- To increase relevance and impact of our research for, and engagement with, our communities.

- To undertake ambitious research confronting humanity's greatest challenges.

- To become a global powerhouse for translational research, developing new commercial, social and creative enterprises.

- To increase collaborative research beyond disciplinary constructs, founded on deep disciplinary knowledge and curiosity-driven research.

- To recognize and respect the diversity of research activity across our institution.

- To invest in and grow Māori and Pacific scholars.

Research, creative work, and innovation for the purposes of the Academic Standards includes contributions and activities related to undertaking research and creative work, production of outputs, knowledge mobilisation and engagement, and research funding and contracts.

- **Outputs**

  Outputs must be quality-assured, typically through peer-review, and may include scholarly journal articles, books, book chapters, refereed conference papers, software, patents, reports, creative work, exhibitions, performances, scholarly editions, screen productions, critiques, and other outputs as appropriate to the individual's research field and practice.

  - Quality of individual outputs may be demonstrated by:
    - Academic quality within the field of scholarship (e.g., as demonstrated by citations and/or other research metrics, positive reviews, shifts or advances in the field).
    - Impact beyond academia (e.g., benefits to society, environment, economy, culture or other changes to public understanding through utilisation, application or consumption of the research outputs by non-academic stakeholders). Indicators of impact can include, but are not limited to, testimonials, changes in policy or practice, cost or efficiency savings, revenue, etc.
    - Demonstration of the critic and conscience role of the University.

- o   Research beyond the traditional disciplinary grouping.
- Quantitative standards are a guide to the level of productivity expected at each grade within each broad area of scholarship *normalised to the production of peer-reviewed journal articles*.
  - o   ***Output metrics are not a target*** and must be interpreted according to the norms of the discipline and in a way that takes account of the ***quality*** and ***equivalency*** of contributions. Where disciplinary norms are substantially different to the standards, this should be made clear by applicants and evaluating committees.
  - o   More weight may be placed on some outputs depending on quality, contribution and/or time involved in generation of the output. Such outputs could include (and not limited to):
    - ▪   Works with demonstrable impact, or that are the culmination of a research agenda, especially where such works are collaborative.
    - ▪   Sole-authored monographs and for some fields sole-authored journal articles.
    - ▪   Patents (approved).
    - ▪   Transdisciplinary or other outputs that involve development of non-academic relationships.

- **Knowledge mobilisation and engagement** includes activities and methodologies that are designed to achieve impact beyond academia, and may include (but not limited to):
  - Contribution to research workshops, symposia, conference sessions and the like.
  - Research communication via, e.g., public lectures, social and other media, opinion pieces, submissions, interviews, wānanga.
  - Kaupapa Māori approaches to research to ensure relevance and meaning to Māori communities.
  - Collaborative and/or creative methods of engagement, e.g., community hui, co-design or participatory workshops, policy dialogues, industry partnerships.
  - Training to share research findings and expertise with practitioners, professionals or community members.
  - Research commercialisation activities.

- **Funding and external support definitions**:
  - Internal grants must be competitive grants awarded at Faculty or University level.
  - The category "research grants and contracts or other type of external funding/support" may include those awarded by philanthropic individuals or agencies as well as by application to competitive granting processes (e.g., residencies; access to research facilities) or in-kind support (e.g., cost associated with gallery exhibitions).
  - A major grant or contract is defined as one with a total value of at least $100,000.
  - A prestigious research grant is one awarded by national and international funding agencies, or by organisations with equivalent status, such as Royal

Society of New Zealand, Health Research Council, Ministry of Business, Innovation and Employment, National Institutes of Health (USA), National Science Foundation (USA), Horizon Europe, or equivalent given disciplinary norms.

- **Research leadership** means:
  - The development and/or leadership of research collaborations and teams that demonstrably advance the professional and academic development of more junior team members, whether postgraduate students or staff.

  - Contribution to the research environment and culture in accord with the aspirations of the University as outlined in Taumata Teitei (e.g., enabling collaborative, interdisciplinary approaches to research).

  - Initiation, recognition and/or development of opportunities aligned to the research and innovation aspirations of the University as outlined in Taumata Teitei.

Note: The **Standards for Research, Creative Work & Innovation** and the **General Principles and Considerations** should inform the staff member's application, narratives, and evidence and explanation for sustained performance and provide clarity to staff and committees evaluating colleagues in terms of appointment, continuation, promotion and academic development and performance review. Interpretations of the standards for evaluation of an individual in research, creative work & innovation must recognise workload weightings, available opportunities, programme demands, cultural contexts, career paths, and both internal and external formal and informal roles.

Research Fellow

At appointment, Research Fellows are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in **Research, Creative Work, & Innovation**. They are expected to meet the University definition of "Active in research" (Appendix 2). As their careers progress, Research Fellows are expected to develop their capabilities in research/creative work, taking advantage of opportunities to build research networks, professional development, and mentoring. As a result, their performance, both in quality and in quantity and in respect to their engagement within disciplinary and/or transdisciplinary communities, is expected to increase as they advance through the period of their fellowship towards promotion to Senior Research Fellow.

Senior Research Fellow 1

At Senior Research Fellow 1 in **Research, Creative Work & Innovation**, staff members are expected to:

- Have undertaken research/creative work of demonstrable quality.

- Have undertaken actions to mobilise knowledge and/or engage with non-academic communities.

- Have typically generated, in accordance with disciplinary norms, around 22 (Natural Sciences), around 18 (Social Sciences), or around 8 (Humanities) quality-assured outputs.

- Have typically generated:
    - $50,000 in external research grants or contracts (not necessarily as lead investigator) (Natural Sciences),
    - Two research grants (preferably external) or contracts (Social Sciences),
    - One research grant (preferably external) or contract, or other type of external funding (Humanities).

Senior Research Fellow 6

At Senior Research Fellow 6 in **Research, Creative Work & Innovation**, staff members are expected to:

- Have undertaken research/creative work of demonstrable quality.

- Have undertaken actions to mobilise knowledge effectively and/or involve effective engagement with non-academic communities.

- Have typically generated, in accordance with disciplinary norms, around 45 (Natural Sciences), around 35 (Social Sciences), or around 22 (Humanities) quality-assured research outputs.

- Have typically secured, in accordance with disciplinary norms:
    - Two major external grants or contracts, preferably as lead investigator (Natural Sciences),
    - Three research grants or contracts (at least one external) (Social Sciences),
    - Two research grants (preferably external) or contracts or other type of external funding (Humanities).
- Have demonstrated taking advantage of opportunities to build research networks, professional development and mentoring in research.

Lecturer

At appointment, Lecturers are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in **Research, Creative Work, & Innovation**. They are expected to meet the University definition of "Active in research" (Appendix 2). As their careers progress, Lecturers are expected to develop their capabilities in research/creative work, taking advantage of opportunities to build research networks, professional development and mentoring. As a result, their performance, both in quality and in quantity and in respect to their engagement within disciplinary and/or transdisciplinary communities, is expected to increase as they advance through the period of their lectureship towards promotion to Senior Lecturer.

Senior Lecturer 1

At Senior Lecturer 1 in **Research, Creative Work & Innovation**, staff members are expected to:

- Have undertaken research/creative work of demonstrable quality.

- Have undertaken actions to mobilise knowledge and/or engage with non-academic communities.

- Have typically generated, in accordance with disciplinary norms, around 14 (Natural Sciences), around 12 (Social Sciences) and around 6 (Humanities) quality-assured outputs.

- Have typically secured, in accordance with disciplinary norms:
    - $50,000 in external research grants and contracts (not necessarily as lead investigator) (Natural Sciences),
    - Two research grants (preferably external) or contracts (Social Sciences),
    - One research grant (preferably external) or contract or other type of external funding (Humanities).

Senior Lecturer 6

At Senior Lecturer 6 in **Research, Creative Work & Innovation**, staff members are expected to:

- Have undertaken research/creative work of demonstrable quality and have begun to establish themselves within relevant disciplinary and/or transdisciplinary research communities inside and/or outside the university.

- Have undertaken actions to mobilise knowledge effectively and/or engage effectively with non-academic communities.

- Have typically generated, in accordance with disciplinary norms, around 27 (Natural Sciences), around 22 (Social Sciences), and around 15 (Humanities) quality-assured outputs.

- Have typically, in accordance with disciplinary norms, secured:
    - Two major external grants or contracts, preferably as lead investigator (Natural Sciences),
    - Three research grants or contracts (at least one external) (Social Sciences),
    - Two research grants (preferably external) or contracts or other type of external funding (Humanities).

- Have demonstrated taking advantage of opportunities to build research networks, professional development and mentoring in research.

Associate Professor

At Associate Professor in **Research, Creative Work & Innovation**, staff members are expected to:
- Have undertaken research/creative work which has demonstrable quality and have established themselves within relevant disciplinary and/or transdisciplinary research communities inside and/or outside the university.

- Mobilise knowledge effectively and/or engage effectively with non-academic communities.

- Have typically generated, in accordance with disciplinary norms, around 40 (Natural Sciences), around 31 (Social Sciences), and around 25 (Humanities) quality-assured outputs.
- Have typically secured, in accordance with disciplinary norms:
  - Four major grants or contracts, at least two as lead investigator (Natural Sciences),
  - Four research grants or contracts of which two are external (Social Sciences),
  - One major external research grant or contract or other type of external funding (Humanities).
- Have typically, in accordance with disciplinary norms, secured as lead investigator at least one prestigious grant (Natural Sciences, Social Sciences, Humanities).
- Have engaged effectively in research leadership.

Professor

At Professor in **Research, Creative Work & Innovation**, staff members are expected to show evidence of international eminence in their field and:

- Have undertaken research/creative work which has demonstrable quality.
- Have championed knowledge mobilisation and/or effective engagement with non-academic communities.
- Have typically generated, in accordance with disciplinary norms around 70 (Natural Sciences), around 45 (Social Sciences), and around 40 (Humanities) quality assured outputs.
- Have typically in accordance with disciplinary norms:
  - Eight major grants or contracts, at least four as lead investigator (Natural Sciences)
  - Three major external research grants or contracts (Social Sciences)
  - Two major external research grants or contracts or other type of external funding (Humanities).
- Have typically, in accordance with disciplinary norms, secured as lead investigator at least two prestigious grants (Natural Sciences, Social Sciences, Humanities).
- Have demonstrated research leadership in accord with the aspirations of Taumata Teitei.

Standards for Teaching

The University's Academic Standards are aligned to Taumata Teitei | The University of Auckland Strategic Plan 2021-2030. With regard to Teaching,

the University seeks:

- To create a high-quality learning environment and extracurricular experience that maximises the opportunity for all our students to succeed.

- To integrate research and discovery into our teaching and learning; i.e. research led teaching/research informed teaching.

- To foster working collaboratively, including transdisciplinarity, through our teaching.

- To improve support for pedagogical innovations and the scholarship of teaching and learning.

Teaching contributions and activities for the purposes of the Academic Standards include developing core and extended capabilities in research-informed teaching; supervision, advising, and mentoring of students; course, curriculum, and/or programme development; leadership in teaching and learning.

- **Core and extended capabilities in research-informed teaching** are outlined in the [TeachWell@UoA Framework](). The TeachWell@UoA Framework promotes high-quality student experience by outlining the fundamental capabilities teachers need to succeed and providing a framework for reflective teaching practices. The core and extended capabilities encompass five activities—design, teach, assess, reflect, and contribute—to guide academic staff development of their teaching practice and the application and narrative should demonstrate ongoing improvement and excellence over time.
    - Applicants should draw on several sources to demonstrate teaching contributions, such as student evaluations, peer observations, and self-reflection. The peer review process is outlined in Appendix 1. Individuals do not need to include full SET reports with their application. However, applicants should summarise data sources (such as SET reports) when they are used as evidence.

- **Supervision, advising, and mentoring of students** includes co-supervision of students, which is common in many disciplines and is valuable for both staff and students. Applicants will be asked to specify their level of supervisory engagement as part of their application.

    - Typical numbers of honours, masters and doctoral supervisions expected are specified. In some disciplines opportunity to supervise at particular levels will be rarer than in others and, in such cases (determined by the judgement of peers), variation in the types of supervision completed will be taken into account when evaluating supervisory contributions. However, it is expected that staff, particularly at senior levels, will have supervised and/or co-supervised doctoral candidates.

- **Leadership in teaching and learning** includes (and not limited to) formal and informal leadership roles, mentoring colleagues (for example early career teachers, GTAs and teaching assistants), collaborating and leading teaching teams, innovation, participation in the scholarship of teaching and learning through publications and/or presentations to professional conferences or workshops.

Note: The **Standards for Teaching** and the **General Principles and Considerations** should inform the staff member's application, narratives, and evidence and explanation for sustained performance and provide clarity to staff and committees evaluating colleagues in terms of appointment, continuation, promotion and academic development and performance review. Interpretations of the standards for evaluation of an individual in teaching must recognise workload weightings, available opportunities, programme demands, cultural contexts, career paths, and both internal and external formal and informal roles.

Research Fellow

At appointment Research Fellows are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in **Teaching where it relates to supervision**. As their careers progress, Research Fellows are expected to develop their capabilities in supervision. Any additional expectations in Teaching must be agreed upon, derived from the contracts of employment and job descriptions, and accommodated in workload weightings and allocations. Under such conditions, Research Fellows are expected to develop their capabilities in research-informed teaching.

Senior Research Fellow 1

At Senior Research Fellow 1 in **Teaching where it relates to supervision**, staff members are expected to:

- Have demonstrated supervision that is scholarly and intellectually challenging and well-informed by relevant research.
- Have engaged in advising and mentoring students.
- Have taken advantage of opportunities to develop reflective supervision practices.
- Have typically, taking into account the supervisory opportunities in the discipline and in the unit in which they are employed, supervised to successful completion 2 Honours and 2 Masters candidates or 1 Doctoral candidate (Natural Sciences, Social Sciences, Humanities).

At Senior Research Fellow 1, any additional expectations in teaching must be agreed upon, derived from the contracts of employment and job descriptions, and accommodated in workload weightings and allocations. Under such conditions, Research Fellows are expected to develop their core capabilities in research-informed teaching as outlined in the TeachWell@UoA Framework.

Senior Research Fellow 6

At Senior Research Fellow 6 in **Teaching where it relates to supervision**, staff members are expected to:

- Have demonstrated supervision that is scholarly and intellectually challenging and well-informed by relevant research.

- Have engaged in advising and mentoring students.

- Have developed reflective supervision practices.

- Have typically, taking into account the supervisory opportunities in the discipline and in the unit in which they are employed, supervised to successful completion 2 Honours, 4 Masters, and 2 Doctoral candidates (Natural Sciences), 3 Honours, 4 Masters, and 2 Doctoral candidates (Social Sciences), or 3 Honours, 4 Masters and 2 Doctoral candidates (Humanities).

At Senior Research Fellow 6, any additional expectations in teaching must be agreed upon, derived from the contracts of employment and job descriptions, and accommodated in workload weightings and allocations. Under such conditions, Research Fellows are expected to develop their capabilities in research-informed teaching as outlined in the TeachWell@UoA Framework.

Lecturer

At appointment, Lecturers are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in **Teaching**. As their careers progress, Lecturers are expected to develop their core capabilities in research-informed teaching as outlined in the TeachWell@UoA Framework and in supervision. Their contributions to course, curriculum, and/or programme development are expected to increase as they advance through the period of their lectureship towards promotion to Senior Lecturer.

Senior Lecturer 1

At Senior Lecturer 1 in **Teaching**, staff members are expected to:

- Have developed their core capabilities in research-informed teaching as outlined in the TeachWell@UoA Framework.

- Have demonstrated teaching and supervision that is scholarly and intellectually challenging, well-informed by relevant research, and takes account of evidence (e.g. from students, colleagues, self-reflection or other sources) to increase student engagement.

- Have contributed to the development or enhancement or redesign of courses, course materials, and curriculum.

- Have carried out successful course direction.

- Have engaged in advising and mentoring students.

- Have taken advantage of opportunities to develop reflective supervision practices.

- Have typically, taking into account the supervisory opportunities in the discipline, supervised to successful completion 2 Honours and 2 Masters candidates or 1 Doctoral candidate (Natural Sciences, Social Sciences, Humanities).

Senior Lecturer 6

At Senior Lecturer 6 in **Teaching**, staff members are expected to:

- Have developed their core capabilities and increasingly extended capabilities in research-informed teaching as outlined in the TeachWell@UoA Framework.

- Have demonstrated teaching and supervision that is scholarly and intellectually challenging, well-informed by relevant research, and takes account of evidence (e.g. from students, colleagues, self-reflection or other sources) to increase student engagement and understanding.

- Have contributed to the development or enhancement or redesign of courses, course materials, curriculum, and/or programmes.

- Have carried out successful course and/or programme direction.

- Have engaged in advising and mentoring students.

- Have developed reflective supervision practices.

- Have typically, taking into account the supervisory opportunities in the discipline, supervised to successful completion 2 Honours, 4 Masters, and 2 Doctoral candidates (Natural Sciences), 3 Honours, 4 Masters, and 2 Doctoral candidates (Social Sciences), or 3 Honours, 4 Masters, and 2 Doctoral candidates (Humanities).

- Have demonstrated taking advantage of opportunities for professional development in leadership in teaching and learning.

Associate Professor

At Associate Professor in **Teaching**, staff members are expected to:

- Have developed extended capabilities in research-informed teaching as outlined in the TeachWell@UoA Framework.

- Have demonstrated teaching and supervision that is scholarly and intellectually challenging, shows confident control of relevant research-informed content, and systematically uses evidence (e.g. from students, colleagues, self-reflection or other sources) to modify teaching to increase student engagement and understanding.

- Have contributed to the development or enhancement or redesign of courses, course materials, and curriculum.

- Have led successful academic programme initiatives that have demonstrably enhanced the quality and delivery of courses and/or programmes at the University.

- Have engaged in advising and mentoring students.

- Have demonstrated reflective supervision practices.

- Have typically, taking into account the supervisory opportunities in the discipline, supervised to successful completion 4 Honours, 8 Masters, and 6 Doctoral candidates (Natural Sciences), 4 Honours, 6 Masters, and 5 Doctoral candidates (Social Sciences), or 4 Honours, 6 Masters, and 4 Doctoral candidates (Humanities).

- Have engaged effectively in leadership in teaching and learning.

Professor

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

- Have developed extended capabilities in research-informed teaching as outlined in the TeachWell@UoA Framework.

- Have demonstrated leadership in development or enhancement or redesign of courses, course materials and curriculum.

- Have led successful academic programme initiatives that have demonstrably enhanced the quality and delivery of courses and/or programmes at the University.

- Have demonstrated teaching and supervision that is scholarly and intellectually challenging, shows confident control of relevant research-informed content, and systematically uses evidence (e.g. from students, colleagues, self-reflection or other sources) to modify teaching to increase student engagement and understanding.

- Have engaged in advising and mentoring students.

- Have demonstrated reflective supervision practices.

- Have typically, taking into account the supervisory opportunities in the discipline, supervised to successful completion 6 Honours, 15 Masters, and 12 Doctoral candidates (Natural Sciences), 6 Honours, 8 Masters, and 8 Doctoral candidates (Social Sciences), or 6 Honours, 8 Masters, and 6 Doctoral candidates (Humanities).

- Have demonstrated leadership teaching and learning in accord with the aspirations of Taumata Teitei.

Professional Teaching Fellow 1

At Professional Teaching Fellow 1, staff members are expected to demonstrate appropriate qualifications and the potential to succeed in **Teaching**. Their teaching should be informed by understanding of current research in the discipline and, where relevant, by knowledge of professional practice. It should enhance student learning and respond effectively to student feedback. As their careers progress, PTFs are expected to develop their core capabilities in teaching as outlined in the TeachWell@UoA Framework.

Professional Teaching Fellow 2

At Professional Teaching Fellow 2 in **Teaching**, staff members are expected to:

- Have developed their core capabilities in research-informed teaching as outlined in the TeachWell@UoA Framework.
- Have demonstrated teaching that is informed by understanding of current research in the discipline and, where relevant, by knowledge of professional practice.
- Have demonstrated teaching that is informed by understanding of research on teaching and learning in higher education.
- Have demonstrated teaching that enhances student learning and engagement and responds effectively to student feedback.
- Have developed innovations in teaching and learning aimed at improving student learning and understanding.
- Have demonstrated the impact and quality of innovations in teaching and professional practice through peer observation.
- Have shared successful innovations with colleagues.

Professional Teaching Fellow 3

At Professional Teaching Fellow 3 in **Teaching**, staff members are expected to:

- Have developed their core capabilities and increasingly extended capabilities in research-informed teaching as outlined in the TeachWell@UoA Framework.
- Have demonstrated teaching that is informed by an in-depth understanding of current research in the discipline and, where relevant, by expert knowledge of professional practice.
- Have demonstrated teaching in a way that is informed by in-depth understanding of research on teaching and learning in higher education.
- Have demonstrated the use of student feedback to improve learning and engagement for all students.
- Have developed and evaluated innovations in teaching and learning for their impact on student understanding and engagement.
- Have actively sought ways to share successful innovations.
- Have demonstrated the impact and quality of innovations in teaching and professional practice through peer observation.
- Have engaged in mentoring less experienced staff.

Professional Teaching Fellow 4

At Professional Teaching Fellow 4 in **Teaching**, staff members are expected to:

- Have developed extended capabilities in research-informed teaching as outlined in the [TeachWell@UoA Framework.](#)

- Have demonstrated teaching that is informed by an in-depth and confident understanding of current research in the discipline and, where relevant, by expert and comprehensive knowledge of professional practice.

- Have demonstrated the ability to draw on the research base on teaching and learning in higher education to evaluate alternative approaches to teaching and to explain selection of approach/es for particular groups of students.

- Have demonstrated sustained commitment to improving learning and engagement for all students.

- Have led the development and evaluation of innovations in teaching and learning and have had them peer-reviewed for their impact on student understanding and engagement.

- Have led the dissemination of effective practice.

- Have demonstrated leadership in the professional development of less experienced staff.

Senior Tutor 1

At Senior Tutor 1, staff members are expected to demonstrate appropriate qualifications and the potential to succeed in **Teaching**. Their teaching should be informed by understanding of current research in the discipline, of research on teaching and learning in higher education and, where relevant, by knowledge of professional practice. It should enhance student learning and respond effectively to student feedback. As their careers progress, Senior Tutors are expected to develop their core capabilities in research-informed teaching as outlined in the [TeachWell@UoA Framework](#).

Senior Tutor 8

At Senior Tutor 8 in **Teaching**, staff members are expected to:

- Have developed their core capabilities and increasingly extended capabilities in research-informed teaching as outlined in the [TeachWell@UoA Framework.](#)

- Have demonstrated teaching that is informed by an in-depth and confident understanding of current research in the discipline and, where relevant, by expert and comprehensive knowledge of professional practice.

- Have demonstrated the ability to draw on the research base on teaching and learning in higher education to evaluate alternative approaches to teaching and to explain selection of approach/es for particular groups of students.

- Have demonstrated sustained commitment to improving learning and engagement for all students.

- Have led the development and evaluation of innovations in teaching and learning for their impact on student understanding and engagement.

- Have led the dissemination of effective practice.

- Have demonstrated leadership in the professional development of less experienced staff.

Standards for Academic Citizenship & Service

The University's Academic Standards are aligned to Taumata Teitei | The University of Auckland Strategic Plan 2021-2030. With regard to Academic Citizenship & Service, the University seeks:

- To be an academic community informed by the Māori principles of manaakitanga—respecting and caring for those around us—and whanaungatanga—prioritising relationships and fostering inclusion and belonging.

- To ensure all people feel valued and respected and can contribute fully to the functions and success of the University.

- To empower staff and leadership to enact values of respect, integrity, and service.

- To recognise and support distributed leadership across academic and professional areas.

- To foster an ethic of active service and civic responsibility to underpin community engagement.

- To develop aspirational, inclusive leadership.

Academic citizenship and *service* are interlinked but also can be distinguished. Academic citizenship includes an orientation of engagement with the University community and communities beyond it, as well as a set of activities. Among these activities, service to ensure the effective functioning of the University as an institution predominates, and academic staff have an obligation to perform the service roles that the University at all levels needs to function.

For purposes of the Academic Standards, academic citizenship and service encompass participation, responsibility, contribution, and leadership in ways that support the objectives of Taumata Teitei. They are enacted both

internally—at the programme, department, faculty, and University levels—and externally—at the local, national, and international levels, with the aim of striking a balance over one's career between internal and external academic citizenship and service.

- **Participation** includes and is not limited to taking part in the internal life and functioning of the University as well as external activities in communities; iwi, hapū; civic, research, and professional organisations; government; and other aspects of public and professional life. The following list provides some examples; it is not intended to be exhaustive:

    o Participation in Department/discipline, School, and Faculty meetings

    o Participation in graduation ceremonies

    o Participation in internal and external committees, working or reference groups, panels and boards.

    o Participation in student and external outreach and events

- **Responsibility** includes and is not limited to undertaking and fulfilling formal administrative roles and formal and informal service roles internally and externally, including mentoring others to manage and/or take on responsibility. The following list provides some examples; it is not intended to be exhaustive:

    o Responsibility for formal administrative roles

    o Responsibility for formal and informal service roles, including mentoring, support, and advocacy

    o Responsibility for organising student and external outreach and events

    o Responsibility for identifying and progressing new initiatives and strategies aligned with Taumata Teitei

- **Contribution** includes and is not limited to internal and external activities aimed at achieving a positive impact, advancing our common purpose as an academic community, and fostering the common good. The following list provides some examples; it is not intended to be exhaustive:

    o Contribution to planning, developing, and managing aspects of the University

    o Contribution to building an academic community based on principles of te Tiriti o Waitangi and the values of Taumata Teitei

    o Contribution to implementing new initiatives and strategies internally and externally

    o   Contribution to the 'critic and conscience of society' role of the University and academic freedom

- **Leadership** in service is demonstrated by and is not limited to greater levels of responsibility and more significant and effective contributions that support Taumata Teitei and the functioning of the University. The following list provides some examples; it is not intended to be exhaustive:

  - Leadership of academic units

  - Leadership to build an academic community based on principles of te Tiriti o Waitangi and the values of Taumata Teitei

  - Leadership of new initiatives and strategies internally and externally

  - Leadership of external entities

Note: The **Standards for Academic Citizenship & Service** and the **General Principles and Considerations** should inform the staff member's application, narratives, and evidence and explanation for sustained performance and provide clarity to staff and committees evaluating colleagues in terms of appointment, continuation, promotion and academic development and performance review. Interpretations of the standards for evaluation of an individual in academic citizenship and service must recognise workload weightings, available opportunities, programme demands, cultural contexts, career paths, and both internal and external formal and informal roles.

Research Fellow

At appointment, Research Fellows are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in **Academic Citizenship & Service**. Any expectations in academic citizenship and service must be derived from the contracts of employment and job descriptions and accommodated in workload weightings and allocations. Under such conditions, Research Fellows are expected to show evidence of participation in academic citizenship and service.

Senior Research Fellow 1

At Senior Research Fellow 1, any expectations in **Academic Citizenship & Service** must be derived from the contracts of employment and job descriptions and accommodated in workload weightings and allocations. Under such conditions, Senior Research Fellows are expected to show evidence of participation and increasing responsibility in academic citizenship and service.

Senior Research Fellow 6

At Senior Research Fellow 6, any expectations in **Academic Citizenship & Service** must be derived from the contracts of employment and job descriptions and accommodated in workload weightings and allocations. Under such conditions, Senior Research Fellows 6 are expected to show evidence of responsibility and increasingly contribution in academic citizenship and service.

Lecturer

At appointment, Lecturers are expected to demonstrate appropriate qualifications (typically a doctorate) and the potential to succeed in **Academic Citizenship & Service**. At Lecturer, staff members are expected to show evidence of participation in academic citizenship and service.

Senior Lecturer 1

At Senior Lecturer 1 in **Academic Citizenship & Service**, staff members are expected to show evidence of participation and increasingly responsibility in academic citizenship and service.

Senior Lecturer 6

At Senior Lecturer 6 in **Academic Citizenship & Service**, staff members are expected to show evidence of participation, responsibility, and increasingly contribution in academic citizenship and service.

Associate Professor

At Associate Professor in **Academic Citizenship & Service**, staff members are expected to show evidence of participation, responsibility, contribution and increasingly leadership in academic citizenship and service.

Professor

At Professor, staff members are expected to show evidence of international eminence in their field, and in **Academic Citizenship & Service**, staff members are expected to show evidence of leadership in academic citizenship and service.

Professional Teaching Fellow 1

At Professional Teaching Fellow 1 in **Academic Citizenship & Service,** staff members are expected to show evidence of participation in academic citizenship and service.

Professional Teaching Fellow 2

At Professional Teaching Fellow 2 in **Academic Citizenship & Service**, staff members are expected to show evidence of participation and increasing responsibility in academic citizenship and service.

Professional Teaching Fellow 3

At Professional Teaching Fellow 3 in **Academic Citizenship & Service**, staff members are expected to show evidence of participation, responsibility, and increasing contribution in academic citizenship and service.

Professional Teaching Fellow 4

At Professional Teaching Fellow 4 in **Academic Citizenship & Service**, staff members are expected to show evidence of participation, responsibility, contribution, and increasingly leadership in academic citizenship and service.

Senior Tutor 1

At Senior Tutor 1 in **Academic Citizenship & Service,** staff members are expected to show evidence of participation in academic citizenship and service.

Senior Tutor 8

At Senior Tutor 8 in **Academic Citizenship & Service**, staff members are expected to show evidence of participation and responsibility in academic citizenship and service.

Appendices

Appendix 1: Teaching Standards: Peer Review Process

All the standards include specifications of required levels of performance in teaching and supervision. Applicants are expected to demonstrate 'teaching and supervision that is scholarly and intellectually challenging, well- informed by relevant research, and takes account of evidence (e.g. from students, colleagues, self-reflection or other sources) to increase student understanding' and engagement.

In order to establish that they have met this requirement, applicants for promotion to or continuation at Senior Lecturer 1, Senior Lecturer 6, Associate Professor and Professor and, where relevant within those grades, will be required to submit evidence to support statements made about teaching in their Academic Career Portfolio. This evidence can include formal feedback from students through University-endorsed SET course and teacher summative evaluations on courses to which they have made significant contributions. Formative student evaluations of teaching collected outside the SET cycle may also be acceptable where such evidence specifically illustrates the use of feedback from students to modify teaching to increase student understanding and engagement. The applicant should also consider using evidence from other sources (self-reflection and peer observation of teaching) to demonstrate improving teaching and supervision practice over time.

Applications from staff members seeking promotion to, or continuation at, Associate Professor and Professor will have the teaching sections of the application reviewed by a nominated expert in teaching and learning who will be advisory to the Faculty Staffing Committee/University Staffing Committee and to the Promotion to Professor Sub Committee (PPSC). The reviewer will provide impartial expert advice to the committee/s on the quality of the evidence about teaching provided by the staff member in relation to the standards and the evidence relating to leadership in teaching. They will advise in much the same way as external referees provide input on the impact and quality of the applicant's research outputs.

Appendix 2: Research Standards: Active in Research

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

At the University there is an expectation that the teaching in all our degree and postgraduate programmes should be led by staff who are active in research.

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

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

It is an independent [this term does not exclude collaborative work], creative,

cumulative and often long-term activity conducted by people with specialist knowledge about the theories, methods and information concerning their field of enquiry. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation. In some disciplines, the investigation and its results may be embodied in the form of artistic works, designs or performances. Research includes contribution to the intellectual infrastructure of subjects and disciplines (e.g. dictionaries and scholarly editions). It also includes the experimental development of design or construction solutions, as well as investigation that leads to new or substantially improved materials, devices, products or processes."

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

(i) Staff who are active in research have, during the last three years, produced an average of one substantive quality-assured research output per year.

Note: For more detailed descriptions of what is and is not considered a quality assured research output, refer to the [University of Auckland Research Hub](). The "[Research output types]()" page on the Research Hub provides definitions of different research outputs. The definition of substantive will vary in different disciplines, but outputs in the category titled "Other" would not normally be considered substantive for this purpose, while those in category titled "Book" might be considered the equivalent of more than one research output.

(ii) Production of quality-assured research outputs is the main criterion. However, at the discretion of the Dean, the following may also be taken into account:
- supervision of research postgraduate students
- presentation of original research at conferences, exhibitions, performances and concerts
- obtaining competitive external research funding
- involvement as an editor for academic publications
- enrolment in a supervised research doctoral degree that is in-time, and in which satisfactory progress is maintained

Appendix 3: Disciplinary Groupings: Explanation

Natural Sciences

The Natural Sciences standards are framed by reference to disciplines where team research is common. Staff will often be members of teams in the early stages of their careers but take greater responsibility for leading their own teams as their careers progress. Opportunities to supervise honours projects, masters theses and doctoral theses are extensive, as either a main or co-supervisor. Opportunities to compete for external funding are also more extensive than for Humanities and Social Sciences disciplines, and such funding may provide increased scope for supporting research students, early career researchers such as postdoctoral fellows and technical staff.

Research outputs typically take the form of articles in scholarly journals and, to a lesser extent books, book chapters and (in some fields) refereed conference papers. These characteristics of natural sciences research are

reflected in publishing output standards for this disciplinary grouping. Patents and commercialisation of research are also more common in this grouping and will be seen to add value to a case for promotion, continuation or appointment.

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

Social Sciences

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

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

Humanities

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

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