

## CRITERIA FOR APPOINTMENT, REAPPOINTMENT AND PROMOTION OF ACADEMIC STAFF – CASE STUDY

**Mae Ho Seok Khen**

*Berjaya University College of Hospitality Malaysia*  
maeho@berjaya.edu.my

**Walter Wong Chee Keong**

*CEISI Services Sdn. Bhd. Malaysia*  
walterckwong@gmail.com

### ABSTRACT

*The mission of any university would inevitably encompass the following three activities – teaching and learning; research and scholarship; and services. A university would normally set Key Performance Indicators (KPIs) in each of these activities. At the Berjaya University College of Hospitality (BERJAYA UCH), this is no exception. In this paper, the guidelines for appointment, reappointment, and promotion of academic staff at BERJAYA UCH are presented. The criteria for these appointments are clearly stated. The two aspects of performance – areas of achievement and levels of attainment are described in detail. Numerous headings to address the areas of achievements have been proposed. These may be used to assist the academic staff in preparation for his/her submission for the different levels of appointment/promotion. Finally, an example is given to demonstrate the levels of attainment used by an institution to assess the key performance indicators for research. The objective of this paper is to share with the academic community how the appointment, reappointment and promotion of academic staff are conducted in this institution. The authors strongly believe that if the academic staff member is able to meet the requirements stated in the criteria of this paper for the various levels of appointment, he/she is employable worldwide. It is also the hope/wish of the authors that academic staff members, who follow closely the guidelines, are able to continue to improve their academic performance, and that their achievements will be acknowledged and rewarded accordingly.*

**Keywords:** *Key performance indicators, areas of achievement, levels of attainment, academic leadership, teaching performance and leadership, research and scholarship, professional leadership.*

### 1. CRITERIA FOR APPOINTMENT

Appointment to Professor, Associate Professor, Senior Lecturer, Lecturer and Assistant Lecturer is made on the basis of demonstrated academic achievement. As such, these appointments are solely merit-based. Reappointment assumes the initial appointment requirements were met and is based primarily on appointment within the role.

Reappointment to Professor, Associate Professor, Senior Lecturer, Lecturer and Assistant Lecturer (Tutor) is made on the basis of demonstrated academic achievement. And if initial academic standards were suboptimal, it also requires evidence of attainment. As for promotion, the academic staff must demonstrate that he/she meets the appointment criteria at the level of the promotion when the submission is made.

There are basically two criteria for appointment:

- Academic qualification, and
- Performance.

### 1.1 Academic Qualifications

An applicant for appointment to assistant lecturer must hold a bachelor degree or graduate diploma in the relevant discipline area or equivalent accreditation or standing. An applicant for appointment to lecturer must hold a bachelor, or master, or doctoral qualification in the relevant discipline area or equivalent accreditation or standing. An applicant for appointment to senior lecturer must hold a master degree or doctoral qualification in the relevant discipline area or equivalent accreditation or standing. For appointment to associate professor and professor an applicant must hold a doctoral qualification in the relevant discipline area or equivalent accreditation or standing.

NB1: The University recognizes that in some discipline areas nominated by the University for a specified period, appointment of candidates without the stated qualifications may be made.

NB2: Equivalent standing can be demonstrated by comparison of attainment in areas relevant to academic appointment with the standard attained in a bachelor/master/doctoral qualification in the relevant discipline. If an applicant is claiming equivalent accreditation or standing a detailed case should be attached to the application.

### 1.2 Performance

There are two aspects of performance that are taken into account in considering appointment; these are **areas of achievement** and **levels of attainment**. Assessment in these areas will be based upon the levels defined by the Position Classification Standards.

The four **areas of achievement** which are taken into account by the Appointment Committee are:

- Academic leadership
- Teaching performance and leadership
- Research and scholarship
- Professional leadership

The **levels of attainment** in each of the above areas are:

- Potential (P)
- Satisfactory (S)
- Meritorious (M)
- Distinguished (D)

## 2. AREAS OF ACHIEVEMENT

An applicant for appointment to assistant lecturer must nominate and demonstrate a *potential* (P) level of attainment in all four areas of achievement, namely academic leadership, teaching performance and leadership, research and scholarship, and professional leadership.

An applicant for appointment to lecturer must nominate and demonstrate a *satisfactory* (S) level of attainment in *three* of the four areas of achievement and *potential* in the remaining area.

An applicant for appointment to senior lecturer must nominate and demonstrate a *meritorious* (M) level of attainment in *two* of the four areas of achievement. At least one of which must be in teaching performance and leadership or research and scholarship. There remains a *satisfactory* level and *potential* level of attainment in two other areas.

Applicants for the rank of associate professor and professor must be eminent scholars. They must have achieved, maintained and demonstrated a profound understanding of a discipline, a capacity to extend knowledge in that discipline, and the ability to communicate the results of scholarly endeavour to their peers and the profession.

In appointing a staff member to professor, the University is aware that it is conferring the rare and high honour of a personal professorial appointment. A candidate for the title of associate professor must nominate and demonstrate at least *distinguished* (D) attainment in *one*, *meritorious* attainment in *two* and *satisfactory* level of attainment in the fourth area.

A candidate for the title of professor must nominate and demonstrate a *distinguished* (D) level of attainment in *two* of the four areas of achievement. At least *one* of which must be in teaching performance and leadership or research and scholarship. A *meritorious* level of attainment must be demonstrated in the *two* remaining areas.

**Table 1. Criteria for Academic Appointment/Reappointment/Promotion**

POSITION	ACADEMIC QUALIFICATION	LEVELS OF ATTAINMENT
<b>Assistant Lecturer</b>	Bachelor Degree or Graduate Diploma	4 P's
<b>Lecturer</b>	Bachelor Degree or Master Degree or Doctoral qualification	3 S's 1 P
<b>Senior Lecturer</b>	Master Degree or Doctoral qualification	2 M's 1 S 1 P
<b>Associate Professor</b>	Doctoral qualification or equivalent accreditation or standing	1 D 2 M's 1 S
<b>Professor</b>	Doctoral qualification or equivalent accreditation or standing	2 D's 2 M's

## **2.1 Academic Leadership**

Persons appointed assistant lecturer, lecturer, senior lecturer, associate professor, and professor are expected to undertake duties appropriate to this level of appointment. Consequently, candidates must provide evidence of academic leadership in the institution within the context of the corporate mission. The following headings may assist applicants to address this area of achievement.

### **2.1.1 Staff Leadership**

Provide evidence of staff leadership. Such leadership includes ensuring that the University adequately services the educational needs of the profession and community, assisting in the development of internal policies in relation to academic and administrative matters including research, and leading staff in raising funds for academic programs. Assistance to senior academic staff may also be cited as evidence of academic leadership.

### **2.1.2 Managerial and administrative responsibility**

Provide evidence of managerial and administrative responsibility within an academic department. Such roles may include responsibility for and leadership of other staff (full-time or part-time), and any special leadership roles assumed such as coordinating practical work, supervision of technical staff or preparation of subject review documentation.

### **2.1.3 Courses, subject areas, majors, subject initiated and/or designed**

Provide evidence of involvement in initiating, developing, accrediting or otherwise contributing to the design and administration of new and existing courses, subject areas, majors or subjects. This evidence may include information on innovations, which have resulted from action taken in these areas. Include also work undertaken in preparing course accreditation documentation and in professional body accreditation processes, as well as any activity related to course, subject areas, majors or subject promotion.

### **2.1.4 Service on University committees**

Provide evidence of service on University committees, working parties, boards etc. in which a significant role has been played. Details should include:

- Name of committee or board
- Years of membership
- Role (member/departmental representative/chair etc.)
- Significant contributions.

## **2.2 Teaching Performance and Leadership**

This section deals with teaching within a University. This area should be addressed by providing specific details of teaching experience and accomplishments that substantiate the applicant's personal performance as a teacher, and leadership of other University teachers. Teaching is a vital aspect of the academic's role: it includes aspects of instructional performance, and improving the performance of others. The following headings may assist applicants to address this area of achievement.

### **2.2.1 Teaching ability**

Using the work done for the last five years, show the level at which tutoring, demonstrating or lecturing has been undertaken. Also, provide evidence of effective teaching across the range of teaching undertaken including:

- Formal evaluation by students, former students and/or colleagues
- Testimonials of former students
- Receipt of awards for distinguished teaching

### **2.2.2 Teaching and assessment methods**

Provide evidence of any innovations or changes made to the method of teaching or assessing student performance. Particular attention should be given to leadership in setting teaching standards within a department or discipline, for example, through publication of articles in recognized international journal, conference proceedings, texts or development of recognized applications of technology or teaching/assessment methods.

### **2.2.3 Leadership and associated administration of teaching**

Provide evidence of leadership in developing University teaching and teaching teams.

### **2.2.4 Promoting the improvement of teaching**

Provide evidence of any initiatives undertaken within the department or University at large, which contribute to greater teaching practices. For example:

- Applied research into teaching and learning within the University resulting in innovative teaching approaches.
- Staff development seminars or workshops to disseminate innovative teaching strategies or to develop teaching competence in others
- Assisting other members of staff with their teaching
- Allowing their teaching to be observed by less experienced staff, and discussing their approach to teaching with colleagues
- Sponsorship and leadership or colloquia
- Membership of, and active participation in, professional organizations dedicated to the improvement of tertiary teaching
- Professional development programs undertaken to improve teaching
- Development of e-learning materials

## **2.2.5 Teaching at other institutions**

Provide evidence of teaching that has been done or is being done at other higher education institutions, if such teaching indicates leadership:

- Name of institution(s)
- Subject areas/course(s)
- Year(s)
- Significant leadership contributions

## **2.3 Research and Scholarship**

Clearly, the title of academic staff carries the connotation that the individual is actively engaged in scholarly work and has attained external recognition of this achievement. The exact nature of scholarly attainments will depend on the norms, which prevail in the applicant's particular discipline or field of endeavour. Evidence could include details of printed publications, work done in non-print media, funds attracted from internal and external granting agencies, testimonials and other related information.

### **2.3.1 Print media**

Where publications are joint, the candidates should state clearly the degree of his/her own responsibility. It is suggested that the following headings be addressed as appropriate:

Books, monographs:	author(s), title, publisher, year of publication, page numbers.
Chapters in books:	author(s), title, editor, publisher, year of publication, page numbers.
Creative work:	nature and publication details.
Refereed journal articles:	author(s), title of article, journal name, volume, number, pages, and year.
Non-refereed articles:	as for refereed journal articles.
Refereed conference papers:	author(s), title of paper, conference, whether published, year.
Non-refereed conference papers:	as for refereed papers.
Other publications:	review, newspaper articles, reports, forewords, abstracts, etc.

Candidates should include in their application copies of up to three best-published works. Work in progress may be mentioned but it will be viewed as a current interest rather than evidence of scholarship. If the work has been accepted for publication, it should be identified as "in press" with appropriate evidence of publishing details.

### **2.3.2 Other media**

Provide evidence of creative and professional work undertaken in non-print form such as:

- Building and construction
- Film, television, video, radio broadcasts and recordings

- Exhibitions and performances
- Dance and theatre, and
- Creative achievements.

### **2.3.3 Funds from granting agencies**

State the amount and the name of the granting agencies. State whether principal or co-investigator and reference any resulting publications.

### **2.3.4 Supervision of postgraduate students**

Provide a list of supervised candidates including their level (Masters/PhDs) of studies and the thesis title. State whether principal or associate supervisor and if the supervision is current or completed. Include also any higher degree projects that are supervised in other institutions.

### **2.3.5 Technology transfer**

Record of achievement in transfer of the results of research and development to industry and commerce, the professions and the wider community including patents held and full details of research outcomes from consultancies undertaken.

### **2.3.6 Testimonials**

Provide evidence of:

- Significance of public critiques/reviews/acknowledgments of work by others
- Citations of work made by others in their publications, where available

### **2.3.7 Other**

Include any other evidence of scholastic esteem:

- Editorial or consulting work for publishers
- Editorial work for journal, conference proceedings
- Visiting fellowships and professorships
- Acting as a referee for journals, grants or awards
- Thesis examination
- Involvement in joint research projects
- Fellowships, scholarships and prizes awarded
- High-level consultancy reports
- Experience and success in supervision of higher degrees candidates
- Leadership of research teams
- Citation in the media, etc.

## **2.4 Professional Leadership**

Academic staff will be expected to provide leadership outside as well as inside the University, normally in their chosen profession, field or discipline.

The following headings may assist applicants to address this area of achievement.

### **2.4.1 Professional bodies/learned societies**

Provide evidence of membership such as:

- Name of professional bodies/learned societies etc.
- Membership grade if applicable
- Year joined and/or upgrade

List special contributions, which are evidence of leadership:

- Offices held
- Committee membership
- Submissions prepared, representations made and policies affected
- Influence upon professional programs
- Conference/seminar/workshop planning and leadership
- Any representative roles

Provide evidence of how contributions have been recognized or acknowledged such as:

- Fellowships
- Prizes
- Special mentions
- Honours, etc.

### **2.4.2 Continuing education programs**

Provide evidence of any activities in teaching, designing, promoting or conducting continuing education or professional development courses.

### **2.4.3 Education in the wider community**

Provide evidence of any activities in teaching, designing, promoting or conducting programs for disadvantaged groups, or of effective contribution to the development of a discipline in the wider community.

### **2.4.4 Consulting**

Provide evidence of major consulting projects undertaken through the University. Include such details as:

- The agency utilising your services
- Nature and significance of assignments
- Topic area(s)
- Values
- Duration.

Under this heading list also appropriate specialist work undertaken for community groups.

#### **2.4.5 Professional practice**

Provide evidence of past and current professional practice undertaken. Include sufficient detail to indicate nature and level of practice, extent and duration, type of clientele and relationship of this practice to University duties. This section may include Professional Development Programs (e.g. sabbatical leave) undertaken for this purpose.

#### **2.4.6 Other professional involvement**

Provide evidence here of any activity which will add to an understanding of the level of professional contribution and status. List, for example, activity in other educational institutions' advisory and/or course assessment committees, government committees or task force, submissions to government enquiries, membership of and activity in boards or councils of public or private companies or other entities, and offices held with unions or community groups.

### **3 LEVELS OF ATTAINMENT**

#### **3.1 Introduction**

It is a prerequisite for appointment that applicants nominate and provide evidence of their *level* of attainment in each of the four areas of achievement as specified in the previous section.

The three levels – satisfactory, meritorious, and distinguished – are cumulative. This means that meritorious attainment involves all the requirements for satisfactory plus certain additional expectations, and that distinguished attainment presupposes meritorious levels, and goes further. Definitions of the three levels are as follow.

NB: Potential (P) level means that the applicant does not meet the expected requirements (for reasons beyond his/her control) at appointment, but has demonstrated having the potential and is capable of achieving the expected output during a specified probation period.

### **3.2 Satisfactory attainment**

- (a) With regards to academic leadership, it means that applicants must have participated regularly in administrative functions within their department and/or the University.
- (b) With regard to teaching performance and leadership, it means that applicants must provide evidence that they have at least carried out the teaching duties assigned to them. They perform with an acceptable level of competence, and a record of at least 'satisfactory' or 'average' reports from formal student evaluations of teaching.
- (c) With regard to research and scholarship, it means that applicants must have established a record of research and scholarly activity normally evidenced by continuing publications in refereed journals, books, conferences, or approved non-print media.
- (d) With regard to professional leadership, it means that applicants have participated regularly in the affairs of relevant professional bodies and community groups and/or in professional practice and/or in the development of continuing education programs for the profession.

### **3.3 Meritorious attainment**

Under each of the four areas of achievement, meritorious attainment entails the conditions for satisfactory attainment in each area.

- (a) With regard to academic leadership, the additional requirement is to provide evidence of leadership and/or innovation on more than a minor scale within the University.
- (b) With respect to teaching performance and leadership, additional independent evidence is provided to support a claim of notable achievement in regard to leadership and instruction to University students or staff and innovations in and leadership of teaching in a discipline. Such independent evidence may include formal evaluations consistently at an 'above average' standard by current or past course participants and senior colleagues and evaluations of teaching materials for use in universities.
- (c) With respect to research and scholarship, the applicant is to provide evidence that he/she is actively engaged in scholarly work of high order and has attained significant external recognition, for example by publication, demonstrated where available by referee to citation statistics.
- (d) With respect to professional leadership, there is additional expectation that applicants have taken, for example, an active and influential role in relevant professional bodies and/or community groups. Other leadership could be demonstrated by regular presentations at conferences and by taking of a leadership role in relevant national and international organizations.

### **3.4 Distinguished attainment**

In each of the four areas of achievement, distinguished attainment entails the conditions for meritorious achievement in each area.

- (a) With respect to academic leadership, it is necessary to provide evidence to show that the applicant has successfully carried out major administrative and leadership roles within the University or the higher education system.
- (b) With respect to teaching performance and leadership, provide evidence that the applicant has consistently been 'in the front rank' of University teachers in his/her discipline. A distinguished record of achievement in teaching might also include in addition to 'excellent' or 'outstanding' ratings on evaluation forms, publications of high renown to do with university teaching in the applicant's field and evidence of notable leadership in this teaching. The applicant should have achieved national and/or international prominence as a result of these latter activities.
- (c) With respect to research and scholarship, provide evidence of very high order scholarly work and reputation, for example, a number of publications substantial for persons in the applicant's area of expertise as attested by the applicant's referees.
- (d) With respect to professional leadership, it is expected that the applicant will have taken a leading role, for example, by holding senior office in relevant professional bodies and community groups and being highly influential in this role. He/she is the principal organizer of major national and international conferences, and/or giving invited keynote addresses at significant meetings and conventions.

### **4.0 AN EXAMPLE OF KPIS FOR RESEARCH**

It is normally envisaged that 50% of the publications are in referred international journals, whilst the other 50% are published in conference proceedings. The key performance indicators (KPIs) over a 5-year period are shown below:

Satisfactory performance: 2 – 4 publications per year

Meritorious performance: 5 – 7 publications per year

Distinguished performance: >7 publications per year

For appointment at Associate Professor: 60 - 70 BPUs

For appointment at Professor: 120 – 150 BPUs

The publication is based on BPU (Base Publication Unit). This would mean that when a paper is written and published jointly by four authors, each author can only claim 0.25 BPU assuming that each author has contributed equally.

## 5.0 CLOSURE

The paper presents the guidelines used by BERJAYA UCH for appointment, re-appointment and promotion purposes of academic staff. The requirements of appointment for the academic qualifications, the performance based on areas of achievement, and levels of attainment are very similar to international practices by matured universities. The Key Performance Indicators (KPIs) are normally set by the University Appointment Committee, and approved by the Academic Board and the University Senate. The KPIs are arbitrarily set depending on the stages of development of the academic institution. The KPIs would normally cause heated debate by the Academic Board Committee members and/or by members of the University Senate. The KPIs should be set at a level, that are achievable, challenging and rewarding, thus promoting academic excellence. Otherwise, academic staff members would be frustrated and totally demoralised.

In the above example of KPIs for research, the KPIs for the three levels (S; M; and D) of attainment are indeed very challenging and can be debated. These are real KPIs set in one of the universities in Australia that the second author was involved. The objective then was to change the culture of the institution from teaching and learning culture to become a research-intensive institution. It did work well as the University turned out to become one of the top ten universities in the country but it had taken the institution 10 years to fulfil their dream. Today these KPIs may be considered inadequate, as the better research intensive universities would now demand publications that have high impact factors, and that the papers are published in Class A-type international journals.

Notwithstanding the above, it is good practice for an academic institution to have clearly stated guidelines and criteria for appointment, re-appointment, and promotion of academic staff, thus promoting achievement of excellence, and encouraging staffs' continuing personal and professional developments in their academic career.