

**APPENDIX B: AREAS OF EVALUATION OF SCHOLARSHIP FOR PURPOSES OF APPOINTMENT AND PROMOTION TO A PARTICULAR LEVEL**:

Scholarship has many different components, and evaluation of achievement should be a holistic one, that weighs different elements to make an overall, integrated conclusion. The intention of these elaborations on components of scholarship is not to create a checklist of criteria that have to be met, but rather to clarify the different areas of scholarship, and to elaborate on expectations, which can assist in overall evaluation. The evaluation should consider the level of gravitas associated with each level, especially for appointment to Full Professor. A Doctorate is considered the minimum level of qualification for achieving Scholarship.

Lecturers are junior academics and should work to improve their academic credentials as per the following areas of evaluation, and to establish themselves in a research and teaching area. At appointment, candidates for Lecturer should have demonstrated competency to bring research to completion, as evidenced through publication. Appointment to Lecturer should include assessment of teaching competency or potential, either through direct evidence of teaching experience or through interrogation at interview. A holistic assessment of the potential of the applicant to succeed as an academic should consider potential to develop a career through promotion, as interrogated through assessment of the application materials, and through interview. For staff that are being credentialed to Lecturer, for example, moving from Tutor or Senior Tutor, or from the Accelerated Academic Development Programme, Senate will establish bespoke requirements tailored to their programme, and a simplified credentialing process to assess achievement against agreed outcomes.

The table below summarises the areas of expectation for each level as a descriptor to guide the assessors. It is emphasised that a holistic evaluation is required, and these descriptors should not be used as individual hurdles, but as guides to inform the assessment. It is expected that where an assessor gives credit for academic excellence, this can be substantiated within the application materials of the candidate.

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| **Area of Evaluation** | **For appointment or promotion to**  **Senior Lecturer** | **For appointment or promotion to**  **Associate Professor** | **For appointment or promotion to**  **Professor** |
| General Descriptor | A Senior Lecturer has made a growing contribution to the scholarship in the field – Senior Lecturers are mid-level academics, and should be involved in establishing themselves as national and international experts in their field. | An Associate Professor has made a significant contribution to Scholarship, with some international standing in the field – Associate Professors are established academics, and should be building a national profile as an academic and beginning to take on leadership positions within the Discipline, School and University. | A Full Professor is considered an expert in the area, with broad understanding of Scholarship, with an international profile and should be perceived as leading in the discipline – Professors are senior academics, and should be established national and international experts in their field. Professors should, therefore be giving leadership within the University, the School and the Discipline, and to develop the next generation of academics. They should also play a leading role in improving the teaching and research of the Discipline and School. |
| 1. **Research Publication Output**   Defined by journal articles, books, chapters, conference proceedings, etc. Notwithstanding interdisciplinary work, a core of research outputs must be specific to the applicant in terms of the expectation for each discipline. However, there is a general expectation of a minimum level of achievement per academic level. This should be considered in combination with the other components of assessment so that there is a holistic evaluation. Where there may be shortcomings on one area, these could potentially be compensated by an increased level of achievement in publication as an offset. As we recognised and support collaborative research, co-authorship should be recognised in terms of total research output, while contribution to papers should be assessed under quality of research outputs. | The candidate should demonstrate that they are emerging as a national expert in their field, with some international exposure, as evidenced through production of scholarly work (journals, books, chapters in books, or artistic presentations etc.) and presentation at international conference. | The candidate should demonstrate that they have made a substantial contribution through a cogent body of work in an area of expertise, such that they are taking a leading national role in terms of their publication profile. They should be emerging as an international leader in their discipline. There should be substantial national and international publication (journals, books, chapters in books, or artistic presentations etc.), and presentation at international conferences. | The candidate should demonstrate that they have made a substantial and significant contribution through a cogent body of work in an area of expertise such that they are a national leader in terms of their publications, and demonstrated international intellectual leadership through substantial international publications (journals, books, chapters in books, or artistic presentations etc.)/ presentations. |
| 1. **Quality of Research outputs**   Besides the quantity of publications, the quality of publications has to be taken into account. The collection of research outputs should comprise a body of work that can be recognized in terms of the contribution to scholarship in the discipline. This can consider aspects such as cohesive body of work, a spread of publications across a range of journals recognized in the discipline, the standing of the publications in the discipline, the citation or use of the work by other authors, h-index, NRF rating, scholarly excellence, etc. **Especially high quality work should be recognized as such, and given due recognition**. For example, for disciplines where this is appropriate, publications in Nature or Science would be indicative of very high quality outputs. When there is co-authorship, the contribution of the applicant to the publications in terms of senior authorship, papers emanating from the team they lead, etc. should be considered in a discipline specific manner. | The candidate should have published in a range of national publications (journals, books, chapters in books, or artistic presentations etc.) in the field that demonstrate emerging leadership, and in a number of international journals and/or book publishers. Some publications should be in top national or leading international discipline journals. The Academic impact of the work should be demonstrated through the achievement of some citations of their work by both national and international academics. Impact can also be assessed by an emerging h-index relative to the expectations in the discipline. Invited seminars at other national institutions demonstrated emerging recognition of the quality of the work. | The candidate should have published substantially in a range of national publications (journals, books, chapters in books, or artistic presentations etc.), including the top national discipline journals, as well as published a body of work across international publications (journals, books, chapters in books, or artistic presentations etc.), including in the leading discipline specific journals and/or book publishers. Recognition should be given to publication in multidisciplinary journals. The Academic impact of the work should be demonstrated through the achievement of substantial citations of their work by both national and international academics. Impact can also be assessed by an established h-index relative to the expectations in the discipline. Invited seminars at international institutions demonstrates international recognition of the quality of the work. Plenary invitations to national and international conferences should be recognised. | The candidate should have published in the top national discipline journals, as well as a significant body of work published across international publications (journals, books, chapters in books, or artistic presentations etc.), including in the leading discipline specific journals and/or book publishers. There is expectation of publication in multidisciplinary journals. The Academic impact of the work should be demonstrated through the achievement of significant citations of their work by both national and international academics. Impact can also be assessed by a leading h-index relative to the expectations in the discipline. Invited seminars at international institutions demonstrates international recognition of the quality of the work. Plenary invitations to national and international conferences should be recognised. |
| 1. **Postgraduate Supervision**   It is recognized that all academic staff at the University should be successfully supervising PhD and Masters students, and that supervision should increase as one’s career develops. While there is an expectation for all staff to supervise postgraduates, there is a difference in expectation across disciplines, with staff in some disciplines supervising more students. There is also less expectation at Lecturer level, and recognition should be given to supervision of 4 year and Honours research projects when applying to Senior Lecturer level. Recognition should be given for production of large numbers of students, and also for indicators of the quality of students, for example, demonstration that students have published their work in quality journals and the impact of their achievements in their subsequent careers. Recognition should be given for graduated students, rather than simply for supervision of students. As we recognise and support collaboration, recognition should be given for co-supervision, as well as for interdisciplinary work, and co-supervision of students at other institutions. Where there may be shortcomings on another area of academic evaluation, this could potentially be compensated by an increased level of achievement, in terms of both quantity and quality, in supervision of Masters and Doctoral students as an offset. For staff joining the University through appointment, consideration should be given as to their career to date, and whether they would have been expected to supervise students as part of their duties. There should not be unfair penalizing of staff who would not have had the opportunity to supervise students. | The Candidate should have taken on supervision of postgraduate students across the spectrum, within the expectations for the discipline for staff at the Lecturer level who are progressing to Senior Lecturer, and to have successfully graduated some postgraduate students. There should be indication of publication or artistic presentation of postgraduate work to demonstrate quality. | The Candidate should have taken on substantial supervision of postgraduate students across the spectrum, including supervision of PhD students, within the expectations for the discipline. The Candidate to have successfully graduated a number of Postgraduate students. There should be indication of publication or artistic presentation. from a range of their students, to demonstrate quality. | The Candidate should have taken on substantial supervision of postgraduate students across the spectrum, including supervision of PhD students, within the expectations for the discipline. The Candidate to have successfully graduated a significant number of Postgraduate students, including PhD students. There should be indication of publication or artistic presentation from a range of their students, to demonstrate quality. |
| 1. **Fund-raising and grants**   Fund-raising for research is a key element of academic standing. While we recognize that there is currently not broad participation by academic staff at the University in raising grants, recognition should be provided to those staff who do raise external funds. The expectation is that success with fundraising will become increasingly important as a criterion for success. | The candidate should have participated as a team member in a grant, or have submitted applications for grants as Principal Investigator. | The candidate should have participated as a team member on grants, and should have succeeded with a national grant as Principal Investigator, and to have submitted an application for an international grant as a Principal Investigator. | The candidate should have led a team on grants, including as a Principal Investigator on an international grant. Recognition should be given to inclusion of young academics as team members on grants. |
| 1. **Impact on Society**   While research and student training are both pillars of the University, there is a third component that should be recognized in terms of scholarship. This is the impact that an academic can have on broader society, through the translation of their work, and the work of their students, into practical applications the benefit society. This can be through direct influence of policy or implementation of services which improve human welfare or quality of life, or through indirect influences where their work is taken up by others for similar purpose. The potential for impact on society will vary across disciplines, and there are some disciplines where this would become an expectation of a successful academic, for example in Health Science or Engineering. This is also a very important area of scholarship for the creative arts, where achievements can contribute strongly to the quality of life of our citizens. Strong performance in this area should be considered as an offset against other areas of expectation. | The Candidate should have demonstrated some impact in one of the three areas of Responsible Community Engagement (see Note below Table)  1. Community Human Capital Development Activities, which develop people outside of the University: and impacts broader communities and society that the university serves.  2. In-service Education and Training Activities of UKZN students outside the University through placements, internships, community service modules  3. Research and Development Activities refers to the application of research outcomes to solve community issues and societal problems and also to the processes through which research involves communities  And/or  Demonstrated some achievement in innovation and entrepreneurial activities are those that exploit intellectual capital or knowledge to create value add products and/or services that can be leveraged for economic exploitation by the individual in partnership with the university. This can include, inter alia, copyrighting, patenting, or consulting contracting. | The Candidate should have demonstrated substantial impact in one of the three areas of Responsible Community Engagement and/or Innovation and Entrepreneurship (as per Senior Lecturer). Leadership in municipal, provincial or national activities should be recognised. | The Candidate should have demonstrated significant impact in one of the three areas of Responsible Community Engagement and/or Innovation and Entrepreneurship (as per Senior Lecturer). This should include demonstrated leadership in municipal, provincial or national activities. |
| 1. **Standing in the Discipline**   Academics are members of their academic discipline, and, based on their achievements, are recognized for their scholarly achievement by their colleagues. This can be represented by serving on Academic society committees or boards, serving on professional bodies, invited plenary lectures at society conferences, editorships on society journals or other scholarly journals, external examining, serving on review panels etc. Inputs from assessors is an important mechanism for providing a holistic evaluation of the academic standing in the discipline. For staff that really stand out within their disciplines for their contributions in discipline leadership should be considered as offset against other areas of expectation. | Demonstrated participation in academic community activities such as invitations to examine theses, review papers, participation in academic societies. | Substantial participation in academic community activities such as invitations to examine theses, review papers, organising conferences, convening symposia, and academic committee membership. Participation in leadership roles such as journal editorship, edited book, chairing committees, and/or invited plenaries should be recognised. | Significant participation in academic community activities such as invitations to examine theses, review papers, organising conferences, convening symposia, and academic committee membership. Participation in leadership roles such as journal editorship, edited book, chairing committees, and/or invited plenaries is expected.  Recognition through election to prestigious academic bodies such as Academies, and for awards given for outstanding achievement. |
| 1. **Teaching and Learning**   The University has an expectation that academics will make a significant contribution to the teaching and learning endeavour at both the undergraduate and/or postgraduate level. Academic staff need to demonstrate satisfactory levels of teaching and learning practice. This can be evidenced through peer reviews, student evaluations (undergraduate and postgraduate), external examiner reports, and awards and recognitions. Applications will be strengthened through the use of innovative teaching practices, advancement of educational pedagogy or contributions to curriculum development, and reflection on quality assurance of modules through the interrogation of current modules with the implementation of continuous improvement strategies. Outstanding performance shall include leadership of teaching and learning initiatives that contribute to staff development, as well as improving the teaching and learning ethos of the school/division/colleges. This could be evidenced by scholarly outputs in teaching and learning that could be used as an indication of quality of engagement with teaching and learning; however, research outputs should be evaluated primarily in the research output components so that there is no “double-dipping”. Staff who do not have conventional lecturing duties should be evaluated on their areas of responsibility, for example, for those working in quality assurance, can be evaluated on quality assurance, improvement of teaching and learning ethos, curriculum development, etc. | Candidate should present a well-articulated teaching philosophy that reflects an understanding of Teaching and Learning practice and its influence on promoting academic excellence. There should be sound teaching methods, methods of assessment, as well as reflection on how these have improved over time through reflective practice. Competent teaching administration should be demonstrated through module coordination.  Recognition should be given to participation in curriculum review, sharing practice with others, and/or mentoring of staff.  Recognition should be given to scholarship in teaching and learning (publication/ presentation)  Recognition should be given to any awards or recognition in teaching and learning.  For applicants for vacant positions, if they lack extensive teaching experience, the statement should include philosophy and approach, and intent in terms of implementation. This would be probed further at interview, and assessors can indicate any concerns that could be addressed. | Candidate should present a well-articulated teaching philosophy that reflects a strong understanding of Teaching and Learning practice and its influence on promoting academic excellence. Recognition should be given to promoting academic excellence in teaching and learning at the Postgraduate level.  There should be sound teaching methods, methods of assessment, as well as reflection on how these have improved over time through reflective practice. Recognition should be given to innovation in teaching and assessment approaches and practice.  Competent teaching administration should be demonstrated through module coordination, and there should be demonstration of curriculum review, sharing practice with others, and/or mentoring of staff.  Recognition should be given to scholarship in teaching and learning (publication/ presentation)  Recognition should be given to any awards or recognition in teaching and learning.  For applicants for vacant positions, if they lack extensive teaching experience, the statement should include philosophy and approach, and intent in terms of implementation. This would be probed further at interview, and assessors can indicate any concerns that could be addressed. | Candidate should present a well-articulated teaching philosophy that reflects a substantial understanding of Teaching and Learning practice and its influence on promoting academic excellence, including at the postgraduate level.  There should be sound teaching methods, methods of assessment, as well as reflection on how these have improved over time through reflective practice. Recognition should be given to innovation in teaching and assessment approaches and practice.  Competent teaching administration should be demonstrated through module coordination, and there must be demonstration of curriculum review.  There must be evidence of sharing practice with others, and/or mentoring of staff.  Recognition should be given to scholarship in teaching and learning (publication/ presentation)  Recognition should be given to any awards or recognition in teaching and learning.  For applicants for vacant positions, if they lack extensive teaching experience, the statement should include philosophy and approach, and intent in terms of implementation. This would be probed further at interview, and assessors can indicate any concerns that could be addressed. |
| 1. **University Service**   There are leadership roles (e.g. Deans), as well as units (for example UTLO, QPA, Research office) in the University in which academics are based/appointed who perform academic related duties that fall outside the scope of conventional teaching, learning and supervision. Evidence of achievement in University service would include: delegated administrative, marketing or planning work successfully undertaken in the University, relevant College, School or Discipline; capacity building; mentoring; administrative or representative responsibilities discharged elsewhere in the University including participation in University governance; policy formulation at University level; leadership or participation in academic or professional organisations including relevant contributions to the wider community; and/or public representations on behalf of the University in an official or professional capacity; enhancement of the image of the University with inter alia prospective students, employers of graduates, professional bodies and the community. | Recognition should be given to administrative roles. | It is expected that there should be demonstrated administrative roles, as well as mentoring, especially of emerging African academics, at the commensurate level, if this area of evaluation is rated as important in the assessment. Recognition can be given to roles as Academic Leader, or committee participation within the School, representing the school in various College or university fora. | It is expected that there should be demonstrated administrative roles as well as mentoring, especially of emerging African academics, at the commensurate level, if this area of evaluation is rated as important in the assessment. For this area of evaluation to be rated important, there is expectation of roles as Academic Leader, or strong committee participation within the School, and representing the school in various College or university fora. Recognition should be given to service at the Dean level. |

Note for area 5: Impact on Society:

**Definition of Research-Led Community Engagement**

In this Framework RCE is defined and understood as activities that are integrated into the two main sectors of academic work – Teaching and Learning; and Research.

Definition of Activities recognised as Research-led Community Engagement, and resulting in Academic Impact of UKZN on Society, can be classified into three broad categories:

* 1. Community Human Capital Development Activities, which develop people outside of the University: e.g. the provision of materials for improved teaching and learning in classrooms, the upgrading of staff capacity in other institutions or entities, in-service training of staff, passing on of better skills and knowledge to small scale farmers, literacy training, etc. This category is therefore termed Human Capital Development Activities as it impacts broader communities and society that the university serves.
  2. In-service Education and Training Activities of UKZN students outside the University through placements, internships, community service modules, thus enabling students to be better prepared, be more knowledgeable about communities and play a more effective role in the community or society when they graduate into a work environment. This category is termed Student In-Service Education and Training Activities as it creates the imperative for RCE activities to be more systematically incorporated into mainstream teaching and learning through modules and programmes offered by the university
  3. Research and Development Activities refers to the application of research outcomes to solve community issues and societal problems and also to the processes through which research involves communities. In this case there should be an active link with industry, government, NGOs, community groups, etc. where the research outcomes recorded in research publications (i.e. knowledge and understanding that we have generated through our research) are disseminated and used to result in improved efficacy or economy. This category is termed Research and Development Activities as it refers to the embedding and integration of RCE in research conducted by staff and students of the university.

In this Framework the Community we engage with through RCE is defined as **South African society**, with a focus on serving communities and solving problems relevant to **KwaZulu-Natal**.

NB. These guidelines, should be read in conjunction with the POLICY ON ACADEMIC APPOINTMENTS AND ACADEMIC PROMOTION.