

HONG KONG BAPTIST UNIVERSITY

HUMAN RESOURCES POLICIES AND PROCEDURES/REVIEW OF APPOINTMENT

Appointment Review of Academic/Teaching Staff

PREAMBLE

All academic/teaching staff are appointed initially on fixed-term contracts of 2-3 years. The University will consider and review the appointment of academic/teaching staff with due regard to budget availability, service needs of the Faculty/School/Academy/Department and the performance of the staff concerned.

2. For academic staff, the University will offer *substantiation of appointment* after a period of observation subject to financial viability, service needs, performance review and an overall percentage of “substantiable appointment” of the Department/Faculty/School/Academy concerned. The current percentage of substantiable appointment is set at 85% which will be subject to review from time to time.

3. For teaching staff, the University will offer *continuous contract appointment* after a period of observation, pursuant to financial viability, service needs and performance review. Continuous contract appointment is renewable upon recommendation of the Faculty/School.

ANNUAL REVIEW

4. All academic/teaching staff of the University, whether on fixed-term contract, substantive appointment or continuous contract appointment, are expected to document their annual work performance in teaching, scholarly/creative/professional work/activities and service in an Annual Activity Report and file the Report with their Head of Department. The Head of Department concerned is expected to arrange Annual Review Meetings with staff members to communicate the Department’s performance expectations, to identify growth areas/development needs, and to provide advice and encouragement on continuous professional development.

REVIEW PROCEDURES

5. To prepare for the appointment review exercise, the Human Resources Office will provide Deans of Faculties/Schools and Heads of Departments with a list of staff due for appointment review in September/October of the new academic year. The Human Resources Office will invite the Head of Department to complete the appraisal report on the staff member concerned. The staff member concerned will be invited to provide a self-statement of his/her duties and achievements during the period under review, his/her updated curriculum vitae and samples of 3 representative publications/scholarly works (for academic staff only). He/She may also choose to use the “Annual Activity Reports” during the period in place of the self-statement with any updating, if appropriate.

6. For candidates recommended for substantiation, external assessments will be sought. It may also be sought, as an additional piece of evidence, by the Faculty/School at the discretion of the Dean as Chairman of the Faculty/School Review Panel (FRP). The FRP will make recommendations on the basis of the performance review/appraisal reports, supporting materials submitted by the staff member concerned, and external assessment if applicable.

7. For the appointment review of academic staff and teaching staff at Senior Instructor/Senior Lecturer & above ranks, the recommendations of the FRP will be forwarded to the University Review Panel (URP) for consideration. The URP will meet around January/February and recommend one of the following courses of action to the President and Vice-Chancellor for his final approval:

- a) the staff member be offered a substantive appointment (for academic staff); OR
- b) the staff member be offered a continuous contract appointment (for teaching staff); OR
- c) the staff member be offered a re-appointment for a further period (for both academic/teaching staff); OR
- d) the appointment of the staff member be allowed to complete by the end of contract.

8. For the appointment review of Research Assistant Professor and teaching staff at Instructor I/ Lecturer I & below ranks, the recommendations of the FRP will be forwarded to the Provost for approval via the Human Resources Office.

REVIEW CRITERIA

9. Academic/Teaching staff will be considered for substantiation/continuous contract appointment/re-appointment and/or promotion in accordance with the performance expectations and standards of the relevant rank (for appointment review) or higher rank (for promotion), as set out in the Manual on Performance-based Reward System for Academic/Teaching Staff.

10. As a general guideline, academic/teaching staff should normally have served a minimum of 6 years before consideration of substantiation or continuous contract appointment. This requirement, however, is not meant to be rigidly applied and could be exercised with flexibility for exceptionally outstanding performers.

11. Teaching evaluation results of the academic/teaching staff member under review will be provided by the Human Resources Office to the URP, as part of the evidences of student response to the staff member's teaching. Staff members are also encouraged to provide a "teaching portfolio" which include teaching evidence (such as course preparation and design, subject syllabi, teaching materials and methods, responsiveness to students' needs, and interaction with students, etc.) that can demonstrate their teaching competence and effectiveness.

12. The URP may request for additional information or evidences from the Dean of Faculty/School or the staff member concerned before making a recommendation to the President and Vice-Chancellor.

PANEL COMPOSITION

13. (a) Faculty/School Review Panel

The FRP will be formed with the Dean of relevant Faculty/School as the Chairman, the Head(s) of relevant Department(s), and may comprise members including one to two co-opted senior colleagues who are not Heads of Departments within the Faculty/School, a Dean or senior teaching staff member(s) from outside the Faculty/School, to be invited at the Chairman's discretion.

(b) **University Review Panel for Academic Staff and Senior Instructor/Senior Lecturer & above ranks**

- i. The Provost as Chairman;
- ii. Chairman of Research Committee (academic staff only);
- iii. Relevant Dean of Faculty/School;
- iv. One other Dean of Faculty/School [(if not (iii) above)]; and
- v. Two other senior staff members to be co-opted by the Chairman.
 - For academic staff (at or above Professor rank)
 - For teaching staff (at or above Senior Instructor/Senior Lecturer rank)

(c) **University Review Panel for Chair Professors**

(except for consideration of appointment beyond contractual retirement age)

- i. The President and Vice-Chancellor as Chairman;
- ii. The Provost;
- iii. Chairman of Research Committee;
- iv. The relevant Dean of the Faculty/School;
- v. The Dean of another Faculty/School [if not (iv) above]; and
- vi. A Chair Professor who is not a Dean of Faculty/School.

(The Chairman may co-opt additional senior staff members to serve on the panel as the need arises.)

COMMUNICATION OF THE RESULT OF REVIEW

14. For the appointment review of academic staff and teaching staff at Senior Instructor/Senior Lecturer & above ranks, the URP will submit reports on its recommendations to the President and Vice-Chancellor for approval. As for staff on the Research Assistant Professor and Instructor I/ Lecturer I & below ranks, the FRP will submit reports on its recommendations to the Provost for approval via the Human Resources Office. Results of the review will be communicated to the staff members concerned in writing by the Human Resources Office.

15. In addition to written communication, the Dean of Faculty/School and Head of Department concerned are strongly encouraged to meet with the staff concerned in person, communicate clearly the result of the review, and give his/her appropriate appreciation/encouragement/advice. The Dean of Faculty/School and Head of Department concerned should continue to monitor the performance of the staff to see if desired improvements have been made.

APPEAL PROCEDURES

16. A staff member who is not satisfied with the outcome of the review may write to appeal against the result within one month of the date of letter of notification.

- (a) The staff member concerned who wish to appeal against the result of the review could write direct to the President and Vice-Chancellor giving all the reasons and evidences for such an appeal;

- (b) The President and Vice-Chancellor, after examining the reasons for the appeal, could either authorize the appropriate Panel to be re-convened to re-consider the case on ground of any newly submitted evidences, or to convene a different Panel, or to adopt other appropriate measures at his own discretion;
- (c) The President and Vice-Chancellor should have the absolute discretion to interview the staff member concerned and/or to accept or not to accept the re-considered view of the Panel before communicating the result to the staff; and
- (d) The President and Vice-Chancellor's decision on the re-considered view of the Panel shall be final.

Human Resources Office
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DK/LH/lpl
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