

HONG KONG BAPTIST UNIVERSITY**HUMAN RESOURCES POLICIES & PROCEDURES/PROMOTION****Promotion of Academic/Teaching Staff****PREAMBLE**

The University is committed to the provision of appropriate promotion and career advancement opportunities for academic/teaching staff, and to duly recognise the academic achievement of individual academic/teaching staff members. To this end, the University conducts an annual promotion exercise to consider promotion review of individual staff to the various higher academic/teaching ranks.

2. With the implementation of the New Pay and Reward Structure (NPRS) with effect from 1 July 2004, the University has removed the quota limit of promotion of academic staff to the various academic ranks and promotion has henceforth been based strictly on academic merits of meeting the expectations and standards of the higher rank.

3. For teaching staff, promotion to the Senior Instructor/Senior Lecturer or above ranks is subject to the service/functional needs of the unit concerned. Both the organisational chart of the Department/Faculty/School/Unit concerned and an elaboration of the anticipated expanded scope and level of work of the staff member concerned upon promotion to the higher teaching rank should be provided if and when the case is being brought up for consideration of promotion by the University Review Panel (URP) during the annual round of the Promotion Exercise of Academic/Teaching Staff. For consideration of promotion to the Chair Professor rank, please refer to a separate set of Policies & Procedures governing the Appointment/Promotion of Chair Professors.

4. In accordance with the University Council's approved principles governing conversion arrangements for serving academic/teaching staff on moving-over to the NPRS effective 1 July 2005, staff on conversion will carry with them their existing maximum salary level. Further salary progression beyond their existing maximum salary level will be subject to promotion review in accordance with established procedures. For promotion of Re-titled Professors and Re-titled Associate Professors under the NPRS, please make reference to the "Administrative Guidelines" as listed in the Annex.

REVIEW PROCEDURES

5. With effect from the 2006-07 academic year, staff members can apply for promotion directly to their Faculties/Schools. Staff members who wish to be considered for promotion to the respective higher academic/teaching ranks are advised to discuss with and seek appropriate advice from the Head concerned, before sending in their applications to their Heads for comments.

6. With the integration of the appointment review and promotion processes for academic/teaching staff with effect from the 2006-07 academic year, staff members who are considered for appointment review in a particular year could apply for promotion at the same time during the annual appointment review exercise held in January. Staff members who are not due for appointment review can apply for promotion review in the subsequent months, but the promotion applications from the respective Faculty/School should reach the Human Resources Office latest by 1 March of the year. Staff members may liaise with their respective Faculty/School about its own internal deadline for promotion applications to reach the Faculty/School Review Panel via the Head of Department.

7. On receipt of the application for promotion and the relevant documents on the performance of the staff member concerned including Annual Activity Reports for at least the last two years, the Head should provide his/her comments on the suitability of the applicant to be considered for promotion to the next higher rank and forward the assessment to the Faculty/School Review Panels (FRP) for further deliberation.
8. The FRP should be responsible for making a decision on whether to forward the promotion application to the URP for consideration. Staff from the Human Resources Office could provide support to FRP, if necessary, in reviewing promotion cases.
9. For staff members who are being considered for promotion to the various academic ranks, at least three independent external assessments will be sought. Staff members will need to provide three recent representative samples of scholarly/professional/creative works and an updated curriculum vitae to the Human Resources Office to be sent out for appropriate assessment by the external assessors. The three publications/scholarly/professional/creative works selected to be sent should be highlighted in the curriculum vitae with asterisks.
10. The URP shall advise the President and Vice-Chancellor whose decision shall be final on the applications on promotion.
11. Applications for promotion of teaching staff to the respective ranks of Lecturer I/II and Instructor I will be considered by the FRP, with the recommendations of the Panel forwarded to the Provost for approval via the Human Resources Office.

PROMOTION CRITERIA

12. Academic/Teaching staff will be considered for promotion in accordance with the performance expectations and standards of the next higher rank, as set out in the Manual on Performance-based Reward System for Academic/Teaching Staff.
13. As a general guideline, staff should normally have served for three years at the current rank and have either reached or exceeded the mid-point of the salary range before consideration of promotion to the next higher rank. This requirement, however, is not meant to be rigidly applied and could be exercised with flexibility for exceptionally outstanding performers.
14. Teaching evaluation results of the academic/teaching staff member under consideration of promotion 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.
15. 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.
16. With effect from the 2014-15 academic year, Assistant Professors/Associate Professors who have received once the President's Award for Outstanding Performance in Teaching OR a UGC Teaching Award would be favourably considered for promotion to the next higher rank. In addition,
 - (a) The candidate concerned should also attain at least a Good standard in both the performance areas of Scholarly Work and Service.

- (b) Receipt of the President's Award for Outstanding Performance in Teaching would be counted from the 2006-07 year onwards, starting from which all nominations for the Award were considered by a central Selection Committee chaired by the President and Vice-Chancellor.
- (c) Promotion of these candidates would be forwarded by the relevant Dean/Director of AVA, with appropriate comments on individual promotion case, to the URP for Academic/Teaching Staff for consideration during the annual Promotion Exercise of Academic/Teaching Staff. The President and Vice-Chancellor's decision on the recommendation of the URP shall be final.

PANEL COMPOSITION

17. (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.

- Promotion of teaching staff to the respective ranks of Lecturer I/II and Instructor I will be considered by the FRP, with the recommendations of the Panel forwarded to the Provost for approval via the Human Resources Office.
- Promotion of academic staff to a higher rank and teaching staff to Senior Instructor/Senior Lecturer and above ranks will first be discussed by the FRP, with the recommendations of the Panel forwarded to the University Review Panel for consideration via the Human Resources Office.

(b) University Review Panel for Promotion to Associate Professor Rank; and to Senior Instructor/Senior Lecturer and 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; 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 Promotion to Professor Rank

- i. The Provost as Chairman;
- ii. Chairman of Research Committee;
- iii. Relevant Dean of Faculty/School;
- iv. Three other Deans of Faculty/School; and
- v. Two other senior academic staff members at or above Professor rank to be co-opted by the Chairman.

(d) **University Review Panel for Promotion to Chair Professor Rank**

- i. The President and Vice-Chancellor as Chairman;
- ii. The Provost;
- iii. Chairman of Research Committee
- iv. One Chair Professor who is not a Dean of Faculty/School appointed by the Chairman;
- v. One or two external members who are experts in the same or related field to be included, whenever necessary, at the discretion of the Chairman;
- vi. The Dean of relevant Faculty/School;
- vii. The Dean of another Faculty/School different from that in (vi); and
- viii. One other Chair Professor who is not a Dean of Faculty/School different from that in (iv) above.

A senior staff of the Human Resources Office will serve as Secretary to the Panel.

(The Chairman may co-opt additional senior staff members to serve on the Panel as the need arises. The external members will provide advice to the Panel from an external perspective and they will be present at the time of final consideration of the evidences after receipt of the independent external assessment. For consideration of promotion to the Chair Professor rank, please refer to a separate set of Policies & Procedures governing the Appointment/Promotion of Chair Professors.)

COMMUNICATION OF THE RESULT OF PROMOTION

18. For the promotion of academic staff and teaching staff at Senior Lecturer/Senior Instructor and above ranks, the URP will submit reports on its recommendations to the President and Vice-Chancellor for approval. As for the promotion of other Lecturer/Instructor staff, the FRP will submit reports on its recommendations to the Provost for approval via the Human Resources Office.

19. Upon receipt of the approval of the President and Vice-Chancellor/Provost, the Human Resources Office will, as necessary, check with the Finance Office on the availability of funds under the relevant budget for successful promotion cases. The Finance Office, having completed the budget clearance process, will return a copy of the request form to the Human Resources Office and the department/unit concerned for record. Results of the promotion review will be communicated to the staff members concerned in writing by the Human Resources Office after the budget clearance process.

20. 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 promotion review, and give him/her appropriate appreciation/encouragement/advice.

21. Staff members who have made an unsuccessful attempt for promotion are advised to wait for at least one year before making another application, unless specific advice has been given by the FRP and/or URP to bring up the case again for consideration in the subsequent year.

22. Under normal circumstances, promotion will take effect on 1 September of the year.

APPEAL PROCEDURES

23. A staff member who is not satisfied with the FRP's decision could write directly to the Provost within two weeks of the date of letter of notification. The Provost would consider if there are grounds for presenting the case to the URP for consideration.

24. A staff member who is not satisfied with the outcome of the promotion review of the URP 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 promotion 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
June 2015

JL/DK/LH//yy
(Revised 4/89, 2/91, 8/93, 3/94, 3/95, 2/96, 2/98, 5/99,
2/00, 7/00, 8/02, 9/03, 3/05, 11/05, 12/06, 11/10, 8/11, 11/11, 11/14, 6/15)

Administrative Guidelines on
Promotion of Re-titled Professors and Re-titled Associate Professors
under the New Pay and Reward Structure

1. The University's New Pay and Reward Structure (NPRS) was approved by the Council for implementation in June 2004. According to the approved conversion framework, academic colleagues could be considered for "re-titling" to the next higher rank on conversion to the NPRS but they will **carry with them their existing maximum salary level, and further salary progression beyond their existing maximum salary level will be subject to promotion review in accordance with established procedures.**
2. Academic staff were considered for "re-titling" to the next higher rank in the **one-off** conversion exercise in 2005 in accordance with the following general criteria:
 - (a) that the staff concerned should have met the threshold standard of the higher rank; and
 - (b) that merit will be given to a staff member's "overall" contribution to the University in all the three areas of teaching, scholarly work and service.
3. Based on the principle of the approved conversion framework as well as the approved promotion cases since implementation of the NPRS, the Provost approved to adopt the following guidelines in considering the promotion of re-titled Professors and re-titled Associate Professors:
 - (a) re-titled Associate Professors with maximum attainable salary level at USB Pt. 12 on conversion would be considered for promotion to the Associate Professor rank first before consideration of promotion to the Professor rank;
 - (b) re-titled Professors would be considered for promotion to the Professor rank first before consideration of promotion to the Chair Professor rank;
 - (c) re-titled Associate Professors with maximum attainable salary level at USB Pt. 15 on conversion could be considered for promotion to the Professor rank direct;
 - (d) the years on the "re-titling" rank would be counted towards service years on that rank in consideration of promotion; and
 - (e) exceptions could be made to the above arrangements if the staff concerned has made exceptionally outstanding achievements during the period under review and such justifications are well supported by the Faculty/School Dean and approved by the Provost.

KC/DK/LH
Human Resources Office
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Forms for download:

[Appointment / Promotion Review of Academic/Teaching Staff \(HRO/REW/F1\)](#)

[Application for Tenure / Promotion / Contract Renewal of Academic/Teaching Staff \(HRO/SELF/F1\)](#)

[Nomination of External Assessors Form](#)

[Administrative Guidelines on Nomination of External Assessors](#)