



Regulations for Academic Staff Progression

INTRODUCTION

Traditionally, members of a university's academic staff are assessed at every stage of their career. Changes in rank occur only after due assessment by a panel of peers set up for that purpose by the university authorities. An individual's teaching experience, research, publications and service to the university are reviewed by the panel, which then sends its evaluation to the rector. In this way a professor's rank and attending academic autonomy and prestige are, so far as possible, kept independent of personal and managerial considerations entertained by the university's administration.

The procedures which regulate academic promotion, therefore, lie at the very heart of a university's identity and are one of the main factors contributing to its unique status in society. A university is not simply an institution preparing students for a given number of professional outcomes. It is a community structured around a body of dedicated academics, committed to freely furthering and sharing knowledge on a global scale according to the general rules of verifiable reasoning, clearly identified sources and accepted methodologies, subject only to the public constraints of identity, quality and a sustainable budget.

The present Regulations have been closely aligned with those of the University of Macau, taken as a reference for higher education in the Region. To ensure they lay down procedures for academic staff promotion which are "consistent, fair and transparent" ("USJ Salary Scales", 9.11.2011), a draft version was published on the 16th of January 2013 to allow for suggestions from the entire academy. The final version was discussed with the deans, corrected accordingly and has now been approved by the Executive Council.

Macau, 18th of December 2013

*Peter Stilwell
Rector*

The Regulations for Academic Staff Progression (formerly called Promotion) have been tested for the past two years. Alterations to fine-tune some articles were submitted to the Executive Council, and the approved revised version of the Regulations is now officially published. PSt, 20.05.2016



Regulations

Article 1

Principles

1. The USJ greatly values excellence in teaching, research and service to the community by its academic staff, as highlighted by the University's procedures for career progression.
2. Although regular progression is desirable, it is subject to commitment of staff, staffing strategies of academic units, financial constraints of the University and other criteria that may be established by the Catholic Foundation for Higher Education.
3. The present document is applicable only to Resident and Auxiliary Teaching Staff with an employment contract.

Article 2

Categories, Ranks and Salary Grades

1. Academic staff at USJ are ordered according to *category* and, within each category, according to *rank*.
2. Categories and ranks of academic staff are:
 - a. *Resident teaching staff*, who must hold a doctoral degree and are addressed as "Professor", are ranked as (Full or Chair) Professor, Associate Professor and Assistant Professor;
 - b. *Auxiliary teaching staff*, who are ranked as Adjunct Professor, Senior Lecturer, Lecturer and Instructor.
 - c. *Visiting teaching staff*, who hold one of the above categories and ranks in another higher education institution, and are qualified as "Visiting" at USJ (i.e. Visiting Associate Professor, Visiting Lecturer, ...);
 - d. *Research staff*, who are ranked as Research Professor, Research Associate Professor, Research Fellow, and Research Assistant.
3. The following conditions and restrictions apply:
 - a. Resident teaching staff, depending on their commitment to the university, may be invited to enter the university's *tenure track*, with attendant rules on regular progression.
 - b. Auxiliary teaching staff enrolled in a doctoral programme shall have their teaching appointment reviewed by the Academic Council if they fail to complete their doctorate within the time allotted by the programme;
 - c. Auxiliary teaching staff who do not aspire to an academic career in higher education are not bound by the requirements of research, publication and service to the community, nor are they required to enrol in a doctoral programme;
4. Within each category and rank, staff are attributed a *salary grade* according their workload and/or time of service at USJ.
5. The number of staff in each category and rank in an academic unit shall take into account the legal requirements for the programmes provided and university policy as set out by its highest internal authority and approved by the Catholic Foundation.



Article 3

Yearly Report

1. All academic staff are required to submit the USJ Yearly Academic Staff Report (HRO-207) on or before 15 September of each academic year, which summarizes their teaching load in higher education, research, publications, participation in academic forums, administrative responsibilities at USJ and other relevant service to the wider academic and non-academic community.
2. The University shall attach to that yearly report any relevant assessment by staff's immediate superiors, senior management, peers (i.e. career progression panels) or students.

Article 4

Assessment and Progression

1. Progression of resident academic staff to the ranks of Assistant, Associate and full Professor is subject to the procedures outlined below, in articles 5-9.
2. Changes to a staff's salary grade require approval of the Executive Council, which may delegate to the Administrator and the Dean of the respective academic unit a detailed discussion within approved budgetary limits.
3. Progression of academic staff without a doctoral degree to a higher rank requires the opening of the position by the Executive Council followed by the approval by the Deans Council of proposal submitted by the Dean of the respective academic unit.
4. Members of academic staff who obtain a doctoral degree may be invited for assessment to progress to Assistant Professor, details as stipulated in the procedure Progression to Assistant Professor by Invitation appended to these Regulations (Annex 1).
5. Members of academic staff who enter USJ with a doctoral degree but have not acquired an academic rank through normal assessment procedures in an institution of higher education, are initially ranked as Adjunct Professors for a trial period of six months, following which they may be assessed in accordance with article 5 of these regulations for progression to resident teaching staff with the rank of Assistant Professor.

Article 5

Procedures for Recruitment and Progression of Resident Academic Staff

Recruitment and Progression of resident academic staff is subject to the following procedures:

1. The proportion of Professors, Associate Professors and Assistant Professors in any one faculty is subject to the university's policy, which takes into account criteria in local legislation and financial conditions of the university.
2. When a position falls vacant in an academic unit, a call for applicants may be made by the Rector, at the dean's request, and eligible internal or external applicants may submit their proposals.
3. The Rector's call for applicants should include the composition of the Progression Panel members, and is normally made during the first semester of the academic year,
4. The dean of the academic unit together with the head of the department or programme coordinator concerned, and external referees if necessary, select or reject the applicants according to the following criteria:



- a. Applicants must fulfil all the requirements stipulated in the Rector's call for applications;
 - b. Applicants must not have applied for progression within the previous twelve months.
5. The dean of the academic unit then presents the short-list of candidates to the Rector and proposes the composition of the Progression Panel.
 6. The Progression Panel is responsible for the assessment procedure and sends its recommendations to the Rector for approval within two months of its appointment.
 7. Details of these progression procedures for academic staff are defined by further internal rules appended to these Regulations (Annex 3).

Article 6

Assessment Criteria

1. Candidates are assessed in the areas of research, teaching and service to the community.
2. Progression to the rank of Professor requires excellent performance in research, at least five years' experience as Associate Professor and a diploma of "Habilitation" (Fr), "Priv.-Doz" (D), "Agregação" (P), or equivalent; but if the candidate's career has developed in regions or institutions where such diplomas do not exist, the assessment for progression to Professor should include similar requirements and public examination.
3. Progression to the rank of Associate Professor requires high standard of performance in research and at least three years' experience as Assistant Professor, details as appended to these Regulations (Annex 2).

Article 7

Progression Panel

1. According to the rank to which progression is sought, the Progression Panel shall comprise the following members, proposed by the head of the academic unit and appointed by the Rector:
 - a. Progression to the rank of PROFESSOR:
 - i. Chair: the Rector or the Vice Rector responsible for academic or research affairs.
 - ii. Five or Seven Members including the Chair:
 - The Vice Rector responsible for academic or research affairs, if not designated to chair the panel;
 - Professors from the relevant discipline, of which at least two from outside institution(s) of higher education.
 - b. Progression to the rank of ASSOCIATE PROFESSOR:
 - i. Chair: the Rector, or the Vice Rector responsible for academic or research affairs.
 - ii. Five Members including the Chair:
 - The head of the related academic unit;
 - Professors or Associate Professors from the relevant discipline, of which at least two from an outside institution(s) of higher education.



- c. Progression to the rank of ASSISTANT PROFESSOR:
 - i. Chair: the head of the related academic unit.
 - ii. Three or Five Members including the Chair:
 - The head of the related department or programme coordinator;
 - At least one senior academic staff member from the relevant discipline;
 - At least one senior academic staff member from a different academic unit.
2. Members of the Progression Panel:
 - a. Must be of an academic rank equal or superior to the rank for which the candidates have applied.
 - b. May not be relatives of the candidates (see article 10.1).
3. The Chair of the Progression Panel may invite the Head of the Human Resources Office to attend the panel meetings.

Article 8

Assessment Procedures

1. For the progression to Professor the procedure will include an interview with the candidate by the panel, the analysis of a detailed syllabus prepared by the candidate in the academic area for which the position was advertised, and the public presentation and defence of a paper representing the candidate's most recent research.
2. For the progression to Associate Professor or Assistant Professor the procedure involves a review by the panel of reports by its members on the pedagogical experience, services to the community and academic publications of the candidates for the advertised position.
3. If the Progression Panel for any rank includes external members, at least one shall participate in any programmed interview or meeting to assess the candidate.
4. When there is more than one candidate for an advertised position, the panel will conclude their assessment by grading the candidates from first to last.
5. The results of the assessment are communicated in writing to the Rector who publishes them after informing the heads of the academic units and the staff members concerned.

Article 9

Appeal Procedures

1. An unsuccessful candidate for progression may appeal to the Rector in writing against the result of the progression assessment within 15 working days of receiving the notification. If the Rector chaired the Progression Panel, the candidate may appeal to the Executive Council. Appeals will be considered only on the grounds of procedural irregularity.
2. If the appeal is upheld, the Rector or the Executive Council may either assign the same Progression Panel to reconsider the application in the light of new arguments and evidence, or set up a new Progression Panel to handle the appeal.



3. The decision of the Progression Panel after re-consideration shall be final.

Article 10

Conflict of Interests

1. No one shall be involved in the progression assessment procedure of his/her spouse, lineal relatives by blood or by marriage, or collateral relatives by blood or by marriage up to the third degree of kinship.
2. If there are reasons to suspect that the assessment was not conducted in an impartial manner, especially when conflict of interests is shown to exist, the relevant member of the Progression Panel shall be replaced.
3. When a candidate, due to his/her academic or administrative position, falls within the list of members of the Progression Panel stipulated in Article 5, the Rector shall find a replacement of similar seniority.



Annex 1. Progression to Assistant Professor by Invitation

USJ makes a policy of motivating its lecturers to enrol and complete their doctorate. This is considered important for the university, as the number of staff holding a doctorate adds to the general academic profile of the institution and provides a wider pool of teachers to share responsibilities not only in master and doctoral programmes, but in vital academic research and administrative work. Over time, therefore, the faculty are able to appreciate and encourage the pedagogical and scientific talents of their colleagues who are lecturers. When the latter successfully complete their doctorate, it is logical, therefore, that the department or faculty may wish to invite them take up a full academic career at the university as Assistant Professor, without subjecting them to the further challenge of an open call for candidates.

The university, however, must ensure that an invitation is not based merely on personal solidarity. On the other hand, not all full-time lecturers will have proved, over time, to have the desirable pedagogical or scientific skills required by the university, or they may have proved not to be good “team players” in the life of the academy.

The assessment for progression of a full-time lecturer to Assistant Professor by invitation of the Rector shall, therefore, always be based on a summary assessment of a candidate’s competence and of the financial impact the progression will have on the faculty and on the university as a whole.

Progression

- **Eligibility.** *A Lecturer with at least two years’ full time teaching experience at USJ upon earning a Doctoral degree from a reputable university is eligible to internal progression to the rank of Assistant Professor by invitation.*
- **Request.** *A Lecturer eligible to progression to the rank of Assistant Professor may apply to the Dean of his or her academic unit to make a request to the Rector for his or her progression. When a Dean is aware of an eligible lecturer in his or her academic units, she or he may also take the initiative to make the request after receiving a consent from the Lecturer. The Dean’s request shall be in writing and submitted to the Rector. The request shall include an assessment of the financial impact of the progression, a list of the duties to be attributed to the future assistant professor and a list of proposed possible professors for the Progression Panel.*
- **Criteria for assessment.** *Assessment shall be made with respect to the Lecturer’s teaching, research and services to the community.*
- **Documentation:** *Documentation from the Lecturer includes the Doctoral Degree Certificate and an updated curriculum vita – listing all the credentials and academic experience, including, but not limited to, teaching experience, research publications, ongoing or completed research projects, and services to the academic and wider community. Copies of teaching materials, publications and other important records shall also be submitted in the package*



Annex 2. Criteria for Progression to Associate Professor

- *General expectations*
- *Teaching*
- *Research*
- *Services*

General Expectations

Successful candidates to Associate Professor are expected to demonstrate excellence in teaching, research and services to the community. They are expected to provide evidence of effectiveness in teaching, supervising and mentoring of students, sufficient level of research publications as well as professional and community services. In assessing the application to progression to associate professor particular attention will be given to teaching. Research publications are essential. Moreover, records of community services including professional and/or administrative services and public services are also considered as an asset but of lesser importance.

1. Teaching

Teaching quality is at the heart of USJ's mission. Successful candidates to Associate Professor at the University of Saint Joseph are expected to achieve excellence in teaching. A successful candidate should have taught at least 4 different modules in degree-granting university programmes independently and have taught standard workload according to the university's guidelines in the past 3 years. Teaching includes not only formal classroom instruction but also:

- *Supervision and mentoring of master and doctoral students*
- *Supervision and mentoring of fieldwork and internships*
- *Participation in teaching offered in other faculties, departments or universities*
- *Improvement and enrichment of educational offerings and instructional activities at the university*
- *Development of instructional materials*

Successful candidates are expected to at least demonstrate consistently positive teaching performance each year.

Excellence in teaching may be demonstrated with support of the following documentation:

- *Syllabi of the modules taught, including clear indication of learning outcomes, learning activities, and assessment*
- *Demonstrated review and upgrade of modules*
- *Recognized teaching accomplishments*
- *Student evaluations of instruction*
- *Peer evaluation of effectiveness in instruction*
- *Teaching philosophy that is compatible with the mission of the university*
- *Teaching-related publications such as textbooks, reference books or other teaching materials*
- *Participation in teaching-related professional service activities, such as committee activities, editorial work, or election to offices.*

2. Research

The University of Saint Joseph aims to be a unique and outstanding liberal arts university in Macao, China and the Region. To this end research plays an essential role in the production and dissemination of knowledge. Rigorous scholarship is expected from all faculty members,



particularly as they accumulate increasing years of service. In assessing quality and quantity of scholarly works, emphasis will be given to scholarly work with high academic impact. Publications with practical impact will also be valued.

With this in mind the following list of publication outlets will be considered:

- *Articles in refereed journals*
- *Books reflecting original work, with greater emphasis to scholarly books*
- *Edited books, with greater emphasis to scholarly books*
- *Original chapters in edited books, with greater emphasis to scholarly books*
- *Papers presented in academic or professional symposiums or included in the proceedings of such conferences*
- *Refereed reports and working papers issued in respected institutions*
- *Completed original manuscripts submitted to journals and publishers, in which case the candidate may attach a letter from the editor.*

Successful candidates to progression for Associate Professor are expected to provide evidence of a sufficient number of high-quality scholastic publications in their field of specialization, as well as providing evidence of a plan of research activities that are likely to continue in the future. Such a candidate should have had at least 4 high-quality scholastic publications in the past 3 years.

3. Services to the community

Professional Services

At a certain point all faculty members are expected to be involved and contribute to service in areas such as professional activity, committee activity, coordination tasks, and/or special projects in the university and the outside community. A record of positive, consistent, and engaged performance in the department, faculty, university, professional, and/or civic organizations and the broader outside community is requisite for a favourable progression decision.

Administration Services

As a relatively young higher education institution in Macao, the University of Saint Joseph may invite faculty members to devote time and effort to undertaking administration and leadership positions at the departmental, faculty and university levels. Faculty members assuming administration and leadership responsibilities are expected to seek mentorship from a senior faculty member to decide on the allocation of time and adjustment in balancing teaching, research and service. Although administration and leadership is not a requisite for progression it will be considered an asset when relevant.



Annex 3. Internal Rules for Academic Progression Procedures

These rules are written in an attempt to clarify the steps that follow once the application for academic progression has been accepted.

- **Creation of Assessment Panel.** *The Rector shall set up the panel within 15 working days upon receipt of an eligible request, allowing the applicant one month's time to submit the necessary documentation, and the panel another one month's time to submit the report.*
- **Submission of documentation.** *The candidate shall, within the timeframe set forth, submit the necessary documentation to the Rector's Office, which upon receipt of the documentation, distributes the documentation to the Panel members.*
- **Assessment.** *The Chair shall distribute responsibilities amongst the members of the panel and convene a meeting to consider its final recommendations, which are to be submitted to the Rector in writing within the timeframe set forth. If the Panel decides to reject the application, the Chair of the Panel shall notify the applicant and the Rector in writing with detailed reasons immediately after the decision is made.*
- **Decision.** *The Rector shall announce his decision to the applicant within 15 working days after receiving the proposal from the Panel.*
- **Appeal.** *See Article 9 of the main document.*